



RECORDS RETENTION SCHEDULE

State University Model

Schedule Date: March 10, 1994

Change Date: September 14, 2006

Prepared by

STATE RECORDS BRANCH

Public Records Division

Kentucky Department for Libraries and Archives



RECORDS RETENTION SCHEDULE

Signature Page

University Model Schedule
Agency

March 10, 1994
Schedule Date

Animal Diagnostic Laboratories
Unit

September 14, 2006
Change Date


September 14, 2006
Date Approved By Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:


Agency Head

Date of Approval

Agency Records Officer

State Archivist and Records Administrator
Director, Public Records Division

Date of Approval

9/14/2006
Date of Approval

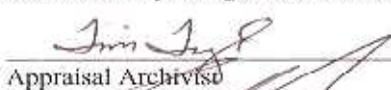

Chairman, State Archives and Records Commission

9/14/06
Date of Approval

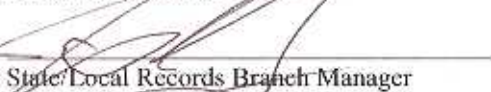
The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:


Records Analyst/Regional Administrator

9-14-06
Date of Approval



Appraisal Archivist

9/14/06
Date of Approval


State/Local Records Branch Manager

14 Sep 06
Date of Approval

The determination as set forth meets with my approval.


Auditor of Public Accounts

9-14-06
Date of Approval

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Buildings/Grounds/Physical Plant

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0700	Applications/Awards to Construct University Buildings			Agency: I Records Center: Archives Center:	Destroy three years after construction is completed, and audit
U0701	Blueprints, Plans and Specifications for Buildings, Grounds and Landscapes File (V)			Agency: P Records Center: Archives Center:	Transfer to the University Archives when no longer needed administratively
U0702	Building Inspection File			Agency: 2 Records Center: Archives Center:	Destroy
U0703	Capital Construction/Building File - (Includes renovations and new construction) (V)	Series contains information regarding construction and funding for state universities	Series contains: A list of construction projects	Agency: P Records Center: Archives Center:	Transfer to the University Archives three years after building project is closed Series is used for reference purposes.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Buildings/Grounds/Physical Plant

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0704	Insurance File - Building and Equipment - (Includes insurance policies and support documents) (V)	This series documents insurance information on university buildings and equipment	Series contains:	Agency: I Records Center: Archives Center:	Destroy three years after expiration of agreement or policy, and audit
U0705	Inventory Forms/Lists Change Date: 9/9/1999	This series documents the listing of equipment present across campuses. It is used to identify what equipment is currently held by a particular administrative unit, and what equipment has been transferred, loaned or surplused. The forms or listings are updated, generally, as changes occur, but at least yearly. The series is used to complete the annual inventory, usually conducted at the end of each fiscal year. New lists are created each fiscal year to reflect changes in the status of the equipment, which supersedes the previous ones.	Series contains: Name of unit; type of equipment; inventory number	Agency: I Records Center: Archives Center:	Destroy when superseded Series has primary administrative value as it is used to complete the annual equipment inventory. New lists are created each year, which supersede the previous ones.
U0706	Inventory File of State-Owned Vehicles	This series records all state owned vehicle of the university, including leased vehicles.		Agency: I Records Center: Archives Center:	Destroy three years after disposal of vehicles, and audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Buildings/Grounds/Physical Plant

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0707	Maintenance File - (Contains information on continuing maintenance of facilities)			Agency: 1 Records Center: Archives Center:	Destroy three years after expiration of maintenance agreement or disposal of equipment
U0708	Payroll File - Hourly Employees (C) KRS 61.878 (1)(a) Administrative Change Date: 12/14/1995 (To add KRS to (C) citing)			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0709	Time Cards	This series records the time and attendance of hourly wage employees	Series contains: Hours worked in a pay period, employee signature and signature of supervisor, annual leave, sick leave, leave without pay, court leave, jury duty, holidays,	Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Buildings/Grounds/Physical Plant

Schedule Date March 10, 1994

**Disposition
Instructions
and Retention
Rationale**

Series	Records Title and Description	Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0710	Work Orders - (Detailed requests for repairs on equipment/buildings)	This series is used as a request for repairs needed on campus buildings for such items as HVAC systems, electrical and plumbing repairs, carpentry work, welding and custodial services, and other necessary maintenance. Requests are made to the maintenance department.	Series contains: Type of work requested, location of maintenance needed, who performed the work, how long the work took, approximate cost of work	Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Campus Police

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U1300	Incident Report - (Duplicate) - (Original to president) (C) KRS 61.878 (1)(a) and (f)			Agency: 1 Records Center: Archives Center:	Destroy
U1301	Investigative File (C) KRS 61.878 (1)(a) and (f)			Agency: 1 Records Center: Archives Center:	Destroy five years after closure of case
U1302	Citation Receipt File - (For parking and traffic violations)			Agency: 3 Records Center: Archives Center:	Destroy after audit
U1303	Parking Permit File - (Includes application)			Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Campus Police

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U1304	Policy/Procedure File			Agency: P Records Center: Archives Center:	Retain one copy of each revision permanently. Destroy balance of file when obsolete
U1305	Shift Change File			Agency: I Records Center: Archives Center:	Destroy after assignment is completed
U1306	Traffic Ticket File			Agency: I Records Center: Archives Center:	Destroy after ticket has been paid, and audit
U1307	Uniform Accident Report	This series is a report used to assist in the detection and recording of all detailed, factual information surrounding a traffic accident. The report is used by all law enforcement agencies in the Commonwealth when a vehicle accident occurs in the State of Kentucky, and the accident is reported to the law enforcement agency with jurisdiction. It is also used by safety and security officers on all vehicle accidents which occurs in the jurisdiction of the Office of Safety and Security.	Series contains:	Agency: 3 Records Center: Archives Center:	Destroy This series has administrative, legal and research value.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Campus Police

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U1308	Uniform Citation	This series is used when an officer physically arrests or cites a person for the violation of a criminal offense, traffic law or executes an arrest warrant. This citation is used by all law enforcement agencies in the state of Kentucky.	Series contains:	Agency: 3 Records Center: Archives Center:	Destroy
U1309	Uniform Offense Report - (Includes crimes against persons or property) (C) KRS 17.150 (2)			Agency: 3 Records Center: Archives Center:	Destroy
U1310	Vehicle Usage Schedule	This series documents the assignment of vehicles to each shift. The cars are rotated each week to different shifts. It is posted monthly and then retained. The previous month may be used to create the following month, but reference is not made more than one month back.	Series contains: Day of month, shifts, car numbers	Agency: 90 days Records Center: Archives Center:	Destroy Documents car used by each shift each day of the month. Aids in preparing alternate schedule for the next month.
U1311	Work Schedules			Agency: 1 Records Center: Archives Center:	Destroy after new schedule is prepared

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Personnel/Payroll

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0600	Accident Report File - (Original) - (For which no litigation, claim, or other official action has occurred)	This series contains pertinent information regarding injury on the job. Injury is reported to the appropriate person in the department and report is filled out and sent to Workman's Compensation.	Series contains: Employees name, date of injury, department, nature of incident, attending physician, days away from work	Agency: 3 Records Center: Archives Center:	Destroy Series is used for possible future reference.
U0601	Agreement for Salary Reduction - (Employee) - (If filed separate from the Master Personnel File) (C) KRS 61.878 (1)(a) Administrative Change Date: 12/14/1995 (To add KRS to (C) citing)			Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Personnel/Payroll

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0602	Applicant Referral Log Change Date: 3/14/1996	This series documents applicant referrals to specific job vacancies within a university. The information from the series is used to track specific applicants applying for specific vacancies and to have a record of which applicants were referred to particular job openings. In some instances, the log may contain results of interviews conducted in response to a vacancy.	Series contains: Position referred to; applicant name; department or administrative unit name (where vacancy has occurred); date of referral. May contain interview results, i.e., whether hired or not	Agency: 2 Records Center: Archives Center:	Destroy This series has primary administrative and legal value because it documents applicant referrals to specific job vacancies. Information may be used in the event of litigation involving violations of civil rights of applicants.
U0603	Bookstore Charge Slip - (Faculty and staff) - (Original) - (Duplicate in bookstore)	This document authorizes the payroll department to deduct payment from an employee's paycheck for items purchased and charged in the University Bookstore. It is issued from the bookstore weekly. The duplicate is maintained by the University Bookstore.	Series contains: Date, cashier name, receipt number, quantity of each item, merchandise charged, unit price, amount, tax, total, employee's signature	Agency: 3 Records Center: Archives Center:	Destroy after audit To allow ample time for any errors in payroll deductions to be rectified.
U0604	Bureau of Labor Statistics Log and Summary of Occupational Injuries and Illnesses			Agency: 5 Records Center: Archives Center:	Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Personnel/Payroll

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0605	City Tax Reports	This series shows the annual reconciliation to quarterly figures submitted for the calendar year.		Agency: 4	Destroy after audit
				Records Center:	
				Archives Center:	
U0606	Deduction Listings - (Faculty and staff)			Agency: 4	Destroy
				Records Center:	
				Archives Center:	
U0607	Earnings Records - (Faculty and staff)			Agency: 4	Destroy
				Records Center:	
				Archives Center:	
U0608	Earnings Records - Students			Agency: 1	Destroy thirty years after graduation or last date of attendance
				Records Center:	
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Personnel/Payroll

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0609	Employee Exit Interviews	This series documents why employee is leaving the university	Series contains:	Agency: 1 Records Center: Archives Center:	Destroy five years after termination of employment with the University
U0610	Employee Insurance File - (If filed separate from the Master Personnel File) - (Contains information on enrollments/cancellations)	This series contains copies of university employees insurance records	Series contains:	Agency: 1 Records Center: Archives Center:	Maintain current file. Destroy balance when obsolete Series is for reference purposes
U0611	Federal Tax Reports	This series is computer printout that shows individual gross wages, wages subject to FICA and FICA withheld. These are listed in social security number order along with employee name.	Series contains:	Agency: 4 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Personnel/Payroll

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0612	First Report of Injury or Illness File - (Original)			Agency: I Records Center: Archives Center:	Destroy files which do not result in a claim three years after report date. Those which result in a claim should be transferred to Workers' Claims (Compensation) File (U0631)
U0613	Job Classification File			Agency: P Records Center: Archives Center:	Retain in creating unit
U0614	Job Description File - (Original)	This series is used to inform employee of duties expected of them on the job. It remains on permanent file to allow for periodic updating as position functions change.	Series contains: Classification title of job, characteristics of that class, example of duties, training and experience, and desirable knowledge, skills and abilities	Agency: P Records Center: Archives Center:	Retain in creating unit Series is for comparative analysis purposes in order to track position growth and duty expansion.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Personnel/Payroll

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0615	Leave Accrual Reports - (Contains balances of sick and vacation leave)	This series maintains and documents sick and vacation accumulations, usage and balances, and availability of leave time for individual employees. It provides reports for departments regarding usage and availability. Compiles information regarding leave time taken. Leave reports are produced monthly and submitted to the Personnel office for their record keeping.	Series contains: Employees social security number, department, accrual date, accrual rates, usage, pay period dates of accrual and usage balances	Agency: 1 Records Center: Archives Center:	Destroy five years after termination of employment with the University Series needs to be on file as long as employee is working.
U0616	Non-Injury Accident Report Change Date: 12/14/1995	This series documents accidents which occur on individual campuses which do not result in injury to the person or persons involved. The accidents may involve vehicles, motor bikes, bicycles, or other modes of transportation in which the individual(s) does not sustain personal injury. In general, this series is inclusive of any accident which does not result in personal injury. Information from the file is used to support claims for insurance or other types of compensation.	Series contains: Specific information about the type of accident, names of individuals involved, and insurance coverage	Agency: 3 Records Center: Archives Center:	Destroy This series has primary administrative value because it documents the circumstances of accidents which do not result in personal injury. Information is needed to substantiate insurance claims or other compensation.
U0617	Payroll Source Document File (C) KRS 61.878 (1)(a) Administrative Change Date: 12/14/1995 (To add KRS to (C) citing) (V)	This series contains documentation to support individual pay deductions.	Series contains: Pay period, employee number, social security number, employee name, gross pay, FICA tax, federal tax, state tax, city tax, retirement, insurance, other deductions and net pay for employees	Agency: 4 Records Center: Archives Center:	Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Personnel/Payroll

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0618 Payroll Vouchers				Agency: 3 Records Center: Archives Center:	Destroy after audit
U0619 Performance Evaluations - (Faculty and staff) - (If filed separate from the Master Personnel File) (C) KRS 61.878 (1)(a) Administrative Change Date: 12/14/1995 (To add KRS to (C) citing)		This series reflects employees performance over the course of the year. Manager meets with employee to discuss performance rating, questions/comments that employee may have, expectations of employee in the upcoming evaluation year.	Series contains: Employee name, social security number, classification, title code, cabinet/department/division, branch/section/unit, position number, review period (from/to), job duties, rating, employees signature, other appropriate signatures	Agency: I Records Center: Archives Center:	Destroy five years after termination of employment with the university
U0620 Personnel File - (Contains, performance evaluations, requests for tenure, personnel actions, etc.) - (Master) - (Faculty and staff) (C) KRS 61.878 (1)(a) Administrative Change Date: 12/14/1995 (To add KRS to (C) citing) (V)		This series documents the work and education history of an employee of the university. It is used to check the qualifications of an employee to meet the requirements for a position. It is used to trace the employee's advancement in positions and pay. Also, it is used to document retirement and other benefits.	Series contains: Application for employment, notification of personnel action, contract, medical report, performance and probationary evaluations, disciplinary actions and letter, letters of reference or recommendation, summer sessions one time payments, benefit applications, address or beneficiary changes, tax withholding forms, payroll data sheets, tuition waivers	Agency: P Records Center: Archives Center:	Transfer to the university archives upon termination of employment or retain in the unit This retention meets the need to provide employment history information for purposes of benefits.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Personnel/Payroll

Schedule Date March 10, 1994

Records Title		Disposition Instructions and Retention Rationale	
Series	and Description	Function and Use	Contents
U0621	Personnel Policies and Procedures - (Original) - (Includes hiring policies, tenure/promotion, disciplinary and performance evaluation procedures)		
			Agency: P
			Records Center:
			Archives Center:
U0622	Request for Payroll Refund File - (Duplicate) - (Original in Kentucky State Treasurer's Office)	This series documents information required to request from State Treasurer, taxes and retirement deductions from checks that should be redeposited because of errors or the consolidation of city tax payments.	Series contains:
			Agency: 3
			Records Center:
			Archives Center:
U0623	Request for Tuition Waiver File - (For employees who attend classes)		
			Agency: 3
			Records Center:
			Archives Center:

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Administrative Services
 Personnel/Payroll

Schedule Date March 10, 1994

**Disposition
Instructions
and Retention
Rationale**

Series	Records Title and Description	Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0624	Retirement Reports	This series provides status of accounts such as amounts paid in and years of service to substantiate retirement claims.	Series contains: Monthly reports show gross salaries, check number, dollar amounts of employee, employer deductions. Annual reports show fiscal year earnings. Employers annual report shows employees social security number, name, retirement contributions, days paid, contract days, contract salary	Agency: P Records Center: Archives Center:	Retain in creating unit
U0625	Salary Distribution File - (Duplicate) - (Original in Accounts)			Agency: 2 Records Center: Archives Center:	Destroy
U0626	Social Security Reports			Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
Administrative Services
Personnel/Payroll

Schedule Date March 10, 1994

Disposition Instructions and Retention Rationale

Monday, September 18, 2006

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
Administrative Services
Personnel/Payroll

Schedule Date March 10, 1994

Disposition Instructions and Retention Rationale

Monday, September 18, 2006

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date June 10, 1993

Series	Records Title and Description	Function and Use	Contents	Retention	and Retention Rationale
U0631	Workers' Claims (Compensation) File - (Duplicate) - (Record copy in the Department of Workers' Claims) - (Results from work-related injury/illness)	This series is used for convenience in reviewing cases. Although it contains information on employees, it is not the legal SF-1 document.	Series contains: Name of employee, date of incident, department of employee, details of incident	Agency: I Records Center: Archives Center:	Destroy three years after case closure

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Animal Diagnostic Laboratories

Schedule Date March 10, 1994

Series	Records Title and Description	Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
05453	Diagnostic Files (C) KRS 61.878(1)(c)1. Change Date: 9/14/2006	This series documents diagnostic testing performed by laboratory staff at the Center. Cases are generally referred to the Center from veterinarians. Veterinarians submit the specimen with the Accession Report and the specimen is sent to the appropriate section of the laboratory. Testing results are reviewed by pathologists who make a determination and issue a final report. The report is released to the veterinarian. When certain diseases are detected, the report must also be sent to the State Veterinarian's Office in the Kentucky Department of Agriculture. Information from the accession form and the test results is entered into the Laboratory Information Management System (LIMS). This data can be extracted in summary formats for reporting and research purposes. An initiative is underway to provide a real time connection from the State Veterinarian's Office to the LIMS database. This data sharing is to be a part of the Kentucky Herds Identification project to provide constant monitoring and rapid detection of disease outbreaks. The diagnostic labs are a service provider and not the final custodian of the diagnostic reports.	Accession Report; test results from samples; final report; correspondence; may contain notes specific to the particular lab running the tests.	Agency: 5 Records Center: Archives Center:	Destroy 5 years after the final case report is produced. Series has primary administrative value and secondary research value, as it documents testing procedures and health trends among tested animals. The State Veterinarian's Office and the University of Kentucky College of Agriculture are the major research stakeholders of the summary diagnostic data. The retention meets accreditation standards.
05492	Quality Control Files Change Date: 9/14/2006	This series documents the quality of day-to-day operations at the Center. These materials are used to report to the American Association of Veterinary Laboratory Diagnosticians (AAVLD), which is the accreditation agency. The file documents such issues as continuing education on the part of the employees, the status of equipment and the implementation of records management within the Centers. The basic organizational components of the AAVLD "Quality System" are drawn from ISO 9000 standards. There are also performance standards drawn from ISO 15189 (medical organizations) and ISO 17025 (environmental organizations). The operations quality monitoring process is also used for internal agency management reviews. Upon determination of any performance lags, this series will also document corrective actions taken by the Center. Accreditation audits are conducted every five (5) years.	This series may contain forms, logs and worksheets documenting quality measurements, equipment maintenance and calibration. Also included could be periodic activity reports, customer complaints, photos or other documentary evidence, correspondence and accreditation certificates.	Agency: 5 years Records Center: Archives Center:	Destroy. Meets administrative review needs and accreditation audit requirements.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Animal Diagnostic Laboratories

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
05518	Test Validation Records	This series documents that new or updated diagnostic test procedures give as good or better results than the standard tests currently in use. Tests must be "normed" against established national standards so that there is a very high probability that the results of a test will be consistent. The validation of a test procedure is done when there is a new test created by researchers and scientists, or an upgraded version of a test is made available by a vendor. Parallel studies are done with the established test procedure and the new procedure using known values that should produce exactly the same results. If a statistical analysis of multiple testings shows that there is no significant variation in the results gained by the two testing methods, the newer test is considered to be validated for that particular use. An existing test may be modified in some aspect of its procedure and this must also be validated against an established standard to determine if the results are consistent. Each laboratory section is responsible for validating the new or modified tests it uses. This is not a common occurrence, but it is important to stay current with the research and testing being done in the diagnostic field and to take advantage of new developments. An example of a new test method that has been validated in some situations is using biochemical reactions in a test environment to determine the presence of bacteria rather than growing a sample on a culture plate for visual or microscopic identification.	This series contains the actual data used in the test validation and summary reports generated from the data. The types of data and formats will vary based on the nature of the test procedure.	Agency: Indefinite Records Center: Archives Center:	Retain test results for seven years after the validated test has been phased out and is no longer used. This meets the audit requirements of the professional accreditation agency. Some test procedures (called "gold standards") are in use for long periods of time.

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
Animal Diagnostic Laboratories

Schedule Date March 10, 1994

Disposition Instructions and Retention Rationale

Series	Records Title and Description	Function and Use	Contents	Retention	and Retention Rationale
05519	Proficiency Testing Reports	This series documents how accurately an unknown sample is identified by a laboratory. Testing is carried out by a Diagnostic Center laboratory on a sample or specimen provided by a national source as part of quality assurance measuring for accreditation. A number of laboratories receive exactly the same type of specimen and are to perform exactly the same test, without knowing in advance what values are to be expected. Actual test results are compared across the different labs and any significant deviation in results can prompt further review of a labs' procedures by Center management or the American Association of Veterinary Laboratory Diagnosticians which accredits the Centers. Proficiency testing of this type for quality assurance is done for many different laboratory settings, including hospitals.	This series contains the reports of various external professional organizations that provide the samples for testing and prepare comparisons of the results obtained by the laboratories. The organizations include the Veterinary Laboratory Association, the National Veterinary Services Laboratory, the Animal and Plant Health Inspection Service, the American Association of Bioanalysts and the College of American Pathologists.	Agency: Indefinite Records Center:	Destroy after accreditation in most current cycle is received. Series may be reviewed as part of the laboratory accreditation process and should be kept through the current accreditation cycle. The time frame for an accreditation cycle is generally five years.
05520	Regulatory Testing Report Forms (C) KRS 61.878(1)(c)1.	This series documents that a horse is free from specific diseases monitored by the Department of Agriculture. To sell a horse by consignment in Kentucky, or to transport a horse into or out of Kentucky, laboratory tests are required to determine if infectious diseases are present. The test(s) required depend on the type of horse (mare, racing, etc.). The report form in this series serves as a certificate that the animal does not have a reportable infectious disease and is in effect for one year. The form is four parts with the original going to the owner and a copy being retained by the testing laboratory for a short period of time in the event the owner, the referring veterinarian, or a state agency would need a replacement. A perforated seal is part of the certification to prevent altering and copying of forms when presented to sales agents, transporters or owners. Specimens and samples associated with a test are held for 30 days. This is a high volume series of tests, with over 5,000 being done in a sales season for Keeneland. Standards related to disease reporting and control in animals are promulgated by the Organization of Epizootic Infectious Diseases (OEI). This organization serves a similar function in the animal field as the United Nations World Health Organization (WHO).	This series is carbonated copies of the test reports for Equine Infectious Anemia (EIA), Equine Viral Arteritis (EVA), Contagious Equine Metritis (CEM), the "Coggins" test (which is a screening for Brucellosis) and other reports required by regulation.	Agency: 60 days Records Center:	Destroy 60 days after report is produced. Series is a copy. All test information is in the Diagnostic Files (05453) and is also retained by the owner, veterinarian and State Veterinarian's Office.
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Accounts/Controller/Bursar

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0800	Account Reconciliation File			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0801	Bank Statements			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0802	Bond Documentation File			Agency: P Records Center: Archives Center:	Transfer to the University Archives after all financial transactions are completed, and audit
U0803	Bookstore Daily Reports - (Duplicate) - (Original in bookstore)			Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Accounts/Controller/Bursar

Schedule Date March 01, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0804	Budget Requests - Biennial	This series documents the university's budgetary requests for new programs, expansions, accreditations, ect. That are submitted to the Council on Higher Education. The series is developed from the requests made by the deans to the appropriate vice presidents and the budget office. The vice presidents then generate prioritized lists of recommendations from the lists submitted by the deans. These lists of priorities are sent to the budget office, where they are again prioritized. At that time, the requests and incorporates them into a total university request. The request is then submitted to the Board of Trustees for approval and then, sent to the Council on Higher Education. The Council on Higher Education reviews and approves new academic programs and requests for new construction. They also review the school's budget requests and recommends to the governor and state finance officials how much money the state should allocate for higher education.	Series contains: Program requests, program descriptions, objectives and beneficiaries, the amount of money requested to fund the program requests, the resources (space, computing, libraries) that are needed, and the breakdown of personnel services	Agency: 5 Records Center:	Destroy
				Archives Center:	
U0805	Cancelled Checks			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0806	Capital Construction Disbursements and Receipts File			Agency: P Records Center: Archives Center:	Retain in creating unit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Accounts/Controller/Bursar

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0807	Capital Construction Encumbrance File			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0808	Cash Register Detail Tapes			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0809	Cash Register Receipts			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0810	Cash Transmittal Letters - (Record Copy)			Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Accounts/Controller/Bursar

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0811	Check Registers	This series is a listing of checks written	Series contains: Employees social security number, name, payroll number, net amount check, check number, date of check	Agency: 3 Records Center: Archives Center:	Destroy after audit Series is for reference purposes
U0812	Check Stubs			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0813	Deposit Slips			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0814	Interaccount Bills - (Record copy)			Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Accounts/Controller/Bursar

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0815	Invoices - (Paid)			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0816	Lease Agreement File - (All types) - (Record copy)			Agency: I Records Center: Archives Center:	Destroy three years after expiration of lease, and audit
U0817	Ledgers/Journals - (Which provide a history of financial transactions, including investments) (V)			Agency: P Records Center: Archives Center:	Transfer to the University Archives when no longer needed administratively
U0818	Reconciliation Documents			Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Accounts/Controller/Bursar

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0819	Refund Authorizations	This series records requests and authorizations for refunds.	Series contains: Names, dates, receipt number, check number and amount of refund	Agency: 3 Records Center: Archives Center:	Destroy after audit
U0820	Reimbursement Forms File			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0821	Report of Sales Tax - Monthly - (Original) - (Duplicate in appropriate administrative unit)	This document shows amount of sales tax owed by the university.	Series contains: Ledger sheet, monthly sales tax report, reimbursement check request, reports of surplus property sales, copies of tax report, reimbursement receipts	Agency: 3 Records Center: Archives Center:	Destroy after audit Audit and referral for past tax history.
U0822	Salary Distribution File - (Original) - (Duplicate in Payroll)			Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Accounts/Controller/Bursar

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0823	Subsidiary Accounts File - (Includes income and expenditures)			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0824	Travel Requests - In State and Out of State - (Duplicate in administrative units)			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0825	Vouchers - (Original) - (Duplicate in administrative units) - (journal, travel, pay-In, all types)	This series contains various forms of vouchers including journal, travel, pay-in, petty cash, etc. These forms are the original copies and documents are used for reimbursement requests and various other forms of expense documentation.	Series contains: Various in-coming/out-going expense reports	Agency: 3 Records Center: Archives Center:	Destroy after audit
U0826	Withdrawal Request File - Agency Funds			Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Bookstore

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U1200	Bookstore Charge Slip - (Faculty and staff) - (Duplicate) - (Original in payroll unit for deduction purposes)	This document is to maintain record of items purchased and charged in the University Bookstore by faculty and staff. Items purchased are charged against employees paycheck.	Series contains: Date, cashier name, receipt number, quantity of each item, merchandise charged, unit price, amount, tax, total, employee's signature	Agency: 1	Destroy
				Records Center:	Used as record of faculty/staff bookstore items purchased and charged.
				Archives Center:	
U1201	Daily Reports	This series provides a summary of all monies collected and deposited in the appropriate bank accounts on a daily basis. It is created from the transmittal of receipts, which summarizes copies of official receipts received daily from various departments. This series is used to reconcile accounts on a daily basis.	Series contains: Report number, date, receipt numbers, distribution to bank accounts. The transmittal of receipts contains department name, date, account number, dollar amount in checks, currency and coin, explanation, signature of person submitting and receiving	Agency: 3	Destroy after audit
				Records Center:	Series has primary administrative and fiscal value because it documents monies received and deposited into the university bank accounts.
				Archives Center:	
U1202	Inventory Return File - (Contains correspondence, invoices, credit memos)	This series contains information and related correspondence on textbooks and other bookstore inventory returned to publisher or vendor for credit. Also contains credit memoranda which are applied to future orders or for which reimbursement is received.	Series contains:	Agency: 1	Destroy after reimbursement has been received, or credit has been applied to subsequent orders
				Records Center:	
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Bookstore

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U1203	Special Book Order File			Agency: 1 Records Center: Archives Center:	Destroy after book is received and sold
U1204	Student Charge File			Agency: 1 Records Center: Archives Center:	Destroy
U1205	Textbook Information File - (Includes prices, course number, edition, author, title, publisher)			Agency: 3 Records Center: Archives Center:	Destroy
U1206	Textbook Order Requisition File - (Duplicate) - (Original in Purchasing or similar unit)			Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Bookstore

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U1207	Total Daily Receipts File - (Includes cash register tapes, refund slips, overring charges, cash transmittal form, daily register receipts)			Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Cashier

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U1400	Adjustment Form - (Used to debit or credit student account)			Agency: 3 Records Center: Archives Center:	Destroy after audit
U1401	Agency Fund Receipts File			Agency: 3 Records Center: Archives Center:	Destroy after audit
U1402	Agency Fund Voucher			Agency: 3 Records Center: Archives Center:	Destroy after audit
U1403	Daily Cash Distribution File	This series is a total record of expenditures taken in daily, showing breakdown in pertinent catagories.	Series contains:	Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Cashier

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U1404	Official Receipt - (Used for all types of fees)	This series documents the receipt of monies transferred to the cashier's office by various university offices and departments. All receipts accompany the monies when transferred.	Series contains: Student or individual's name, office, date, receipt number, description of item, amount received, whether in cash or check, initials of cashier	Agency: 3 Records Center: Archives Center:	Destroy after audit Series has primary fiscal value because it documents monies received by the cashier's office and represents an audit trail.
U1405	Request and Authorization for Refund - (Duplicate) - (Original to State Treasurer)			Agency: 3 Records Center: Archives Center:	Destroy after audit
U1406	Request for Authorization of Honorarium			Agency: 3 Records Center: Archives Center:	Destroy after audit
U1407	Returned Check Notice			Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Central Stores

Schedule Date March 10, 1994

Records Title				Disposition Instructions and Retention Rationale	
Series	and Description	Function and Use	Contents	Retention	
U1000	Stock Status List - (Periodic report of stock on hand and its value)			Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Food Services

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U1100	Warehouse Inventory File			Agency: 2 Records Center: Archives Center:	Destroy
U1101	Work Schedules			Agency: 1 Records Center: Archives Center:	Destroy
U1102	Catering Records File Change Date: 12/14/1995	This series documents the scheduling of catering events by university personnel, both on and off campus. Generally, events held on campus are directly related to university programs and functions. Off campus events could include such things as weddings, corporate events, teleconferences, etc. Labor charges for off campus events, which could include student workers, are paid for by the party scheduling the event. A file is established when the event is scheduled by the Catering Office and may be in a manual or electronic format, or a combination of both. Information from the file is used for billing purposes by the respective accounting office.	Series contains: Order form, production form, invoices or billing forms	Agency: 3 Records Center: Archives Center:	Destroy after audit This series has primary administrative and fiscal value because it documents catering events. Information from the file is needed for billing and audit purposes.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Purchasing

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0900	Bid File			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0901	Orders - (Purchase and related documents) - (Record copy)	This document is created to order equipment, services and supplies needed for the operation of the university. Requests are received from the using departments on campus. Once the order is complete and invoices are received from the vendor, a copy of the purchase order is forwarded to the accounts payable department for issuance of a check.	Series contains: Name of department making request, a list of the items purchased with quantity and unit cost for each, vendor, total amount of payment, account number the purchase was charged to and reference to any contracts or bids on which the purchase was based.	Agency: 3 Records Center: Archives Center:	Destroy after audit Series is retained as reference for day to day operation and for audit purposes.
U0902	Receiving/Shipping Reports	This series documents is used to record shipping and receipt of materials or labor and to inform business office of such.	Series contains:	Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Purchasing

Schedule Date March 10, 1994

Records Title and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0903	Requisitions - (Purchase, forms, supplies, all types) - (Record copy)	This series documents requests of purchase made by all areas of the university in regards to supplies and equipment. It is also used to track purchases made by each department within the university.	Series contains: Requisition number, date of request, delivery date required, estimated total cost, price contract number, department making request, phone number of contact person, account number to be charged, item number, quantity requested, unit number, description of item, estimated unit price, suggested vendor(s), person requesting item, appropriate signatures	Agency: 3	Destroy after audit
				Records Center:	Retain for audit purposes
				Archives Center:	
U0904	Surplus Property File - (Sale documents) Administrative Change Date: 12/14/1995 (To change title note)			Agency: 3	Destroy after audit
				Records Center:	
				Archives Center:	
U0905	Telephone Bills/Printouts of Charges	This series is record of telephone charges for the university.	Series contains: Printout of telephone charges	Agency: 3	Destroy after audit
				Records Center:	
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Purchasing

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0906	Vehicle Inventory File - (Original)		Series contains:	Agency: I Records Center: Archives Center:	Destroy three years after vehicles are disposed of, and audit
U0907	Vehicle Maintenance File			Agency: I Records Center: Archives Center:	Destroy three years after vehicles are disposed of, and audit
U0908	Vendor Lists			Agency: I Records Center: Archives Center:	Maintain current file, destroy non-current lists when obsolete

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Real Property

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U1600	Deed Files - (Property which is for use and benefit of the University; conveyed to the Commonwealth) (V)			Agency: P Records Center: Archives Center:	Transfer to the University Archives when no longer needed administratively
U1601	Deed Files - (Property which is sold by the University or conveyed to others) (V)			Agency: P Records Center: Archives Center:	Transfer to the University Archives when no longer needed administratively
U1602	Property Appraisal File - (Acquisition or sale of property) Administrative Change Date: 12/14/1995 (To change title note) (V)			Agency: I Records Center: Archives Center:	Destroy five years after final acquisition, and audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Business Affairs/Accounting
 Real Property

Schedule Date March 10, 1994

Series	Records Title and Description	Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
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U1603	Property Files - (Property acquired on behalf of the University) (V)			Agency: P	Transfer to the University Archives when no longer needed administratively
				Records Center:	
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Fiscal Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0200	Budget Allocations File	This series documents funds available for program/department expenditures including travel vouchers, supplies, telephone service contracts, special events, memberships, repair and maintenance, postage; as well as expenditures made. Equipment purchased for the department programs is also validated by this series.	Series contains: Purchase requisitions showing supplies and equipment ordered for the programs. Receiving reports showing supplies and equipment received for the individual programs. Check requests used for subscriptions, emergency purchases and to pay invoices from special accounts. Copies of interaccount requests and budget transfers made within the university accounts	Agency: 5 Records Center: Archives Center:	Destroy These records are primarily back-up records. Also they are utilized for comparison purposes with current budget.
U0201	Budget Change Forms File (V)	This series is a form or computer printout reflecting budget transfers within agency or from one department to another. It shows the amount to be transferred, from what account it is to be taken and what account it is to go into.	Series contains: Budget transfer information on a form or computer printout used for easy viewing access to account activities	Agency: 2 Records Center: Archives Center:	Destroy This file is used to keep a record of transactions
U0202	Budget - Departmental Operating - (Duplicate)			Agency: 5 Records Center: Archives Center:	Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Fiscal Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0203	Budget - University Operating - (Record copy) Administrative Change Date: 12/14/1995 (To add university to title) (V)			Agency: P Records Center: Archives Center:	Retain one copy in the university archives
U0204	Budget Requests - Annual or Biennial - (Departmental copy) - (Record copy in business office or similar unit)			Agency: 2 Records Center: Archives Center:	Destroy
U0205	Budget - Research Projects - (Departmental copy) - (Record copy in specific research unit)			Agency: 5 Records Center: Archives Center:	Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Fiscal Records

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0238	Budget Workpapers - (Used in compiling final operating budget) - (May be maintained in either manual or electronic formats) Change Date: 6/11/1998	This series documents the compilation of information, in draft form, used to complete university operating budgets. The workpapers, which may be either manually or electronically created, are developed by campus administrative units and are used to support final documentation which goes forward for inclusion in the university's formal operating budget. The series may be used to determine expenditures, disbursements, and the amount of funds that will be needed to continue to support the financial needs of individual administrative units. The workpapers provide insight into the decision making process regarding actual budgetary needs. The series provides supporting documentation which may be useful in the preparation of future budgets.	Series contains: Duplicate budget forms; statistical information; reports of expenditures, disbursements and encumbrances; and related correspondence	Agency: 5	Destroy
				Records Center:	Series has primary administrative value because it documents information needed to support final budget requests. Retention provides for availability of information for two
				Archives Center:	
U0206	Cash Transmittal Letters - (Departmental copy) Administrative Change Date: 12/14/1995 (To add departmental to title note)			Agency: 1	Destroy
				Records Center:	
				Archives Center:	
U0207	Contracts, Agreements and Related Papers - (Departmental copy)	This series is a documentation of terms of agreements among or between parties involved as to what is involved in research, instruction and/or service to be rendered.	Series contains:	Agency: 1	Destroy three years after expiration or termination
				Records Center:	To assure terms and conditions have been met.
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Fiscal Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0208	Contracts, Agreements and Related Papers - (Record copy)	This series is a documentation of terms of agreements among or between parties involved as to what is involved in research, instruction and/or service to be rendered.	Series contains:	Agency: 1 Records Center: Archives Center:	Destroy three years after expiration or termination, and audit To assure terms and conditions have been met.
U0209	Imprest Cash - Bank Statements			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0210	Imprest Cash - Cancelled Checks			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0211	Imprest Cash - Deposit Slips			Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Fiscal Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0212	Imprest Cash Listings			Agency: 3 Records Center: Archives Center:	Destroy after audit
U0213	Imprest Cash - Reconciliation Statements	This series is used monthly to assist in balancing check book and bank statements.	Series contains:	Agency: 3 Records Center: Archives Center:	Destroy after audit
U0214	Imprest Cash - Summary of Disbursements/Requests for Reimbursements	This series is a record of case disbursements and requests for reimbursements.	Series contains: Account numbers, codes for reimbursements	Agency: 3 Records Center: Archives Center:	Destroy after audit
U0215	Imprest Cash Vouchers	This series shows information from a bill or invoice as to what was ordered, how many cost, shipping charges, invoice number, invoice date. Also shows check number, amount paid, date paid and authority number.	Series contains:	Agency: 3 Records Center: Archives Center:	Destroy after audit

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Fiscal Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0216	Interaccount Bills - (Departmental copy)	This series is used for charge and credit to agencies for tuition, fees, bookstore charges and pre-school.	Series contains:	Agency: 3 Records Center: Archives Center:	Destroy
U0217	Inventory Forms/Lists - (Departmental copy) - (Original in Physical Plant or similar unit)	This series documents the listing of equipment present across campuses. It is used to identify what equipment is currently held by a particular administrative unit, and what equipment has been transferred, loaned or surplused. The forms or listings are updated, generally, as changes occur, but at least yearly. The series is used to complete the annual inventory, usually conducted at the end of each fiscal year. New lists are created each fiscal year to reflect changes in the status of the equipment, which supersedes the previous ones.	Series contains: Name of unit; type of equipment; inventory number	Agency: 1 Records Center: Archives Center:	Destroy after disposal of equipment Series has primary administrative value as it is used to complete the annual equipment inventory. New lists are created each year, which supersede the previous ones.
U0218	Inventory File - Vehicle - (Departmental copy)			Agency: 1 Records Center: Archives Center:	Destroy after disposing of vehicle

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Fiscal Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0219	Invoices			Agency: 3 Records Center: Archives Center:	Destroy
U0220	Leases - (Departmental copy) - (Record copy in business/accounting office)			Agency: 1 Records Center: Archives Center:	Destroy three years after termination or expiration
U0221	Orders - Purchase and Related Documents - (Departmental copy) - (Original in business/accounting office)			Agency: 3 Records Center: Archives Center:	Destroy
U0222	Orders - Work - (Departmental copy) - (Original in Physical Plant, maintenance or similar unit)			Agency: 1 Records Center: Archives Center:	Destroy when maintenance approved and completed

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Fiscal Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0223	Photocopy Machine User Documentation			Agency: 1 Records Center: Archives Center:	Destroy
U0224	Requisitions - Central Stores			Agency: 3 Records Center: Archives Center:	Destroy
U0225	Requisitions for Forms - (Departmental copy) - (Original in business/accounting office)	This series is used to order various forms used the university such as Purchase Orders, Purchase Requisitions, Vouchers, etc.	Series contains:	Agency: 3 Records Center: Archives Center:	Destroy
U0226	Requisitions - Purchase - (Departmental copy) - (Original in business/accounting office)			Agency: 3 Records Center: Archives Center:	Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Fiscal Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0227	Requisitions for Supplies			Agency: 2 Records Center: Archives Center:	Destroy
U0228	Requisitions - Telephone - (Departmental copy) - (Original in business/accounting office)			Agency: 1 Records Center: Archives Center:	Destroy
U0229	Reports - Audit - (Record copy) - (Formal audits completed by independent auditors or the Auditor of Public Accounts) (V)			Agency: P Records Center: Archives Center:	Transfer one copy to the University Archives. Retain one copy in the Business or Accounting Office. Destroy excess copies when no longer useful

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Fiscal Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0230	Reports - Annual Financial - (Record copy) (V)			Agency: P Records Center: Archives Center:	Transfer one copy to the University Archives. Destroy excess copies when no longer useful
U0231	Reports - Receiving - (Duplicate) - (Original in business/accounting office)	This series is used to balance and report monthly sales, profit, expenditures and accounts receivable.		Agency: 1 Records Center: Archives Center:	Destroy
U0232	Telephone Listing of Charges			Agency: I Records Center: Archives Center:	Destroy when obsolete
U0233	Travel Authorizations - (Departmental copy)			Agency: 3 Records Center: Archives Center:	Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Fiscal Records

Schedule Date March 10, 1994

**Disposition
 Instructions
 and Retention
 Rationale**

Series	Records Title and Description	Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0234	Travel Requests - In-State or Out-of-State - (Departmental copy) - (Record copy in busniess/accounting office)	This series documents employee's request for in or out of state travel. Document is submitted to immediate supervisor for request, then forwarded on for appropriate signatures. After travel is completed, document accompanies original Travel Voucher U0825 and appropriate receipts to substantiate reimbursement.	Series contains: Applicant name, destination, departure date and time, return date and time, purpose of travel, type of visit, type of meal llowance, source of funds, estimated cost of trip, total amount requested, university vehicle request, account number, appropriate signatures	Agency: 3 Records Center: Archives Center:	Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Fiscal Records

Schedule Date March 10, 1994

**Disposition
Instructions
and Retention
Rationale**

Series	Records Title and Description	Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0235	Travel Vouchers - (Departmental copy) - (Record copy in business/accounting office)	This series documents travel made, purpose of travel, and amounts requested for reimbursement. Accompanying documents are receipts to substantiate reimbursement and a copy of the approved Travel Request U0234 which serves as the authorization for travel.	Series contains: First page: Date, amount, traveler identification number, traveler name, agency name, traveler's work station, office phone, traveler's residence, month, day, time of departure, time of return, location (from/to), private auto mileage, tolls and/or parking, lodging, subsistence, purpose, totals, was State car available? (yes/no), totals for this page, enter mileage from all pages, total other expenses, totals from continuation pages, grand total, required signatures. Second page: Traveler identification number, traveler name, date, month, day, time of departure, time of return, location (from/to), private auto mileage, tolls and/or parking, lodging, subsistence, purpose, totals, totals for this page	Agency: 3 Records Center: Archives Center:	Destroy
U0236	Vouchers - (Duplicate) - (Record copy in business office) - (Includes departmental authorizations, departmental invoices, pay-in and journal)	This series contains various duplicate forms of vouchers including journal, pay-in, petty cash, etc. (this series does not contain travel vouchers U0235). Documents are used for reimbursement requests and various other forms of expense documentation.	Series contains: Various in coming/out going expense reports	Agency: 3 Records Center: Archives Center:	Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Fiscal Records

Schedule Date March 10, 1994

Series	Records Title and Description	Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
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U0237	Financial Records - (Subunit or office copies of financial records not subject to audit, such as vouchers, requisitions, purchase orders)			Agency: 2	Destroy
				Records Center:	
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Miscellaneous Records

Schedule Date March 10, 1994

Records Title and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0100	Correspondence - Official - (Documents the major activities, functions and programs of the university and important events in its history) (V)	This series documents the major functions of an office and important events in its history. It documents major changes in policy and/or procedures, and admission requirements, standards in curriculum, proposals, etc.	Series contains: Memoranda, letter, reports, activities, event announcements	Agency: P Records Center: Archives Center:	Transfer to the University Archives after administrative use has ceased Series meets the need for historical information about the function and activities of an office.
U0101	Correspondence - General - (It is of a non-policy nature and deals only with general operations which are better documented by other records)	This series documents the general operations of each department within the university. This correspondence is not considered crucial to the preservation of the administrative history of each department. Generally, it is used in response to outside inquiries for catalogs, admission applications, copies of publications, etc. or it is used in the form of memos between departments of the university	Series contains: Memoranda, correspondence	Agency: I Records Center: Archives Center:	Retain no longer than two years Series documents responses to inquiries and/or communication between departments.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Miscellaneous Records

Schedule Date March 10, 1994

**Disposition
Instructions
and Retention
Rationale**

Series	Records Title and Description	Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0102	Legislative File - (Pertaining to Kentucky General Assembly) - (May contain draft proposals, recommended legislation, correspondence)			Agency: 5 Records Center: Archives Center:	Destroy
U0103	Manuals, Operating - (Which document university activities, functions) - (Record copy) - (Duplicate in administrative units)			Agency: P Records Center: Archives Center:	Retain one copy of each manual permanently. Destroy excess copies when no longer needed

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Miscellaneous Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0104	Minutes - (Examples include: Board of Trustees, Board of Regents, faculty senate, faculty meetings, other policy making bodies) Administrative Change Date: 12/14/1995 (To change title note) (V)	This series documents all action taken during various meetings of policy making bodies. It is used as a reference for any recommendations, policy actions, decisions, motions, etc. are made.	Series contains: Date, members present, appeals heard, appellant's name, discussions, decisions rendered, motions made, resulting recommendations	Agency: P Records Center: Archives Center:	Transfer one copy to the University Archives. Retain one copy in the creating unit. Destroy excess copies when no longer useful Documents action taken and provides it's administrative history.
U0105	Minutes - Tapes or Stenographic Notes - (From which written minutes are prepared)			Agency: P Records Center: Archives Center:	Transfer to the University Archives after minutes have been created and approved by appropriate authority
U0106	Newspaper Clipping File			Agency: I Records Center: Archives Center:	Destroy when no longer useful

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Miscellaneous Records

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0107	Photographic File - (Photographs which document university activities)			Agency: P	Transfer to the University Archives
				Records Center:	
				Archives Center:	
U0108	Press Releases - (Record copy)	This series includes reference for University annual reports and historical record reference. Topics and information are varied. Serves as reference for university's public information department's activities and work.	Series contain information about University events, activities personnel and programs	Agency: P	Retain one copy of each release in the University Archives. Destroy excess copies when no longer useful
				Records Center:	
				Archives Center:	
U0109	Publications - (Record copy of university-related functions/activities, including catalogs, and commencement programs)	This series provides information as to the policies and procedures required for admittance into the university, provides history of the university, shows a map of the campus, explains housing accommodations and special activities and any other general information necessary for a new or returning student. This series is useful to students, faculty, administrators and the public for research on reports, news articles, books, theses, dissertations, etc.	Series contains: Catalog, brochures, bulletins, newsletters, reports	Agency: P	Transfer one copy of each publication to the University Archives. Retain one copy in the creating unit. Destroy excess copies when no longer useful
				Records Center:	
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Miscellaneous Records

Schedule Date March 10, 1994

Records Title		Disposition Instructions and Retention Rationale	
Series	and Description	Function and Use	Contents
U0110	Racial/Ethnic/Gender Statistical Reports - (Reports regarding compliance with federal/state civil rights regulations and equal employment laws) Administrative Change Date: 12/14/1995 (To add gender to title)		
			Agency: P
			Records Center:
			Archives Center:
U0111	Reference/Informational Materials - (Materials not needed to conduct current business)	This series documents technical and/or non-technical information that is often supplied to the university by vendors as advertisement of their equipment and/or services. It can also be material supplied by other members of the university, but usually required no action by the recipient, rather is provided for informational use only.	Series contains: Handbooks, catalogs, brochures, pamphlets, information-only copies of reports
			Agency: I
			Records Center:
			Archives Center:

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Miscellaneous Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0112	Reports - Annual or Summary - (Record copy)	This series is a summary of departmental activities for the year. It documents accomplishments and future plans for the university.	Series contains: Curriculum, student advising, enrollment, instructional quality, faculty composition, research and scholarly activity, institutional service, community service, materials and physical facilities, personnel management, fiscal management, external factors, major departmental expentation, etc.	Agency: P Records Center: Archives Center:	Transfer one copy to the University Archives. Retain one copy in the creating unit. Destroy excess copies when no longer useful For possibility of an audit and for long term record of progress.
U0113	Reports - Periodic Activity - (Serve as support documents for annual or summary reports)			Agency: I Records Center: Archives Center:	Destroy when annual or summary reports are accepted, and when no longer useful to the creating unit. NOTE: Retain if annual or summary reports are not created
U0114	Reports/Special Studies - (Record copy)			Agency: P Records Center: Archives Center:	Transfer one copy to the University Archives. Destroy excess copies when no longer needed administratively

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Miscellaneous Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0115	Research Projects - (Final Report) - (Record copy) (C) KRS 61.878 (1)(a) patient identity Administrative Change Date: 9/30/1998 To change title	This series documents final reports of research projects. Final reports provide analyses and summaries of the research data created in the projects and serve as historical records of the projects. Research data are created by faculty, staff, students, post-doctoral fellows, scholars and visiting scientists, in the course of their scholarly activities and in conducting sponsored activities funded by external agencies. The investigator, usually designated as the Principal Investigator, bears primary responsibility for the overall conduct of the research, sponsored, or scholarly activity.	Series contains: Summaries and analyses of data created during research projects (generally in the form of a report or publication)	Agency: P Records Center: Archives Center:	Transfer one copy to the University Archives. Retain one copy in the creating unit. Destroy excess copies when no longer useful Series has secondary informational value as it provides summaries and analyses of research projects. Also serves as historical documentation of university research programs and initiatives.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Miscellaneous Records

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0120	Research Data - (Contains data which are the result of activities of a research project) (C) KRS 61.878 (1)(a) patient identity Change Date: 9/30/1998 (V)	This series documents research data created by faculty, staff, students, post-doctoral fellows, scholars and visiting scientists in the course of their scholarly activities and in conducting sponsored activities funded by external agencies. Research data are used to test hypotheses and to form an understanding of our world. Research data are the result of original observations and activities of a study and are necessary for reconstruction and evaluation of the final report of the project. Typically, the university owns the data, but may choose not to claim ownership if there is a specific condition to the contrary, or if the activity is considered to be the unrestricted property of the author. The principal investigator bears primary responsibility for the overall conduct of the research and is responsible for retention of the data and providing access to it. NOTE: Generally, research data would not be needed beyond five years after submission of the final report. However, at the discretion of the university, some research data may be appropriate for long term retention, for use in subsequent studies. Also, requirements specified by the funding agency's regulations may require a longer retention period.	Series contains: Technical data; computer software; laboratory worksheets; memoranda; notes or exact copies that are the result of original observations and activities of a study; case history records; and study protocols (synthetic compounds, organisms, cell lines, viruses, cell products, cloned DNA, as well as DNA sequences, mapping information, crystallographic coordinates, plants, animals and spectroscopic data.)	Agency: I	Destroy five years after submission or publication of the final project report for which the data were collected, whichever is longer, and audit. NOTE: If retention requirements specified in funding agency's regulations are longer, the agency requirements will apply. Also, at the discretion of the university, some data may be retained longer for use in subsequent projects
				Records Center:	
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Miscellaneous Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0116	Speeches/Papers - (Presented by President, faculty, administrative heads when written/recorded as a function or in behalf of the university)	This series documents official statements, remarks, policy or information made by a university administrator or faculty member before an organization or group. This record is general in content, such as a welcoming speech, or very specific as in detailing university policy.	Series contains: Transcript of speeches. The record contains the title of the speech, the speaker's name, the date of the speech, the organization for which the speech was given and where the speech was given	Agency: P Records Center: Archives Center:	Transfer one copy to the University Archives. Retain one copy in the creating unit. Destroy excess copies when no longer useful Series may contain official statements of the university, as well as documenting activities and events of the institution.

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
General Records
Miscellaneous Records

Disposition Instructions and Retention Rationale

Series	Records Title and Description	Function and Use	Contents	Retention	and Retention Rationale
U0117	Kentucky State Agency University Cooperative Publications - (For state agency funded university research projects/programs for which publications are produced) Change Date: 9/8/1994	This series documents the publications, or published reports, regardless of format, which result from funding of university research projects or programs by state government agencies. These publications document information on a statewide basis, and because of their relationship with the sponsoring state government agency are included in the Department for Libraries and Archives' publications holdings. Program examples include: Kentucky Department of Criminal Justice Training (Justice Cabinet) at Eastern Kentucky University; Kentucky Municipal Law Center (Kentucky Department of Local Government) at Northern Kentucky University; and the Kentucky Cancer Registry (Cabinet for Human Resources) at the University of Kentucky.	Series contains: Published reports, regardless of format	<p>Agency: P</p> <p>Records Center:</p> <p>Archives Center:</p>	<p>Forward three copies to the Publications Section of KDLA's Public Records Division when issued. Transfer one copy to the University Archives for permanent retention. Retain one copy in the creating unit. Destroy excess copies when no longer useful</p> <p>This series has secondary administrative and research value because it provides summary information on results of special studies, projects and programs undertaken by the university, and because it documents the cooperative relationship between state government agencies and the universities.</p>

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Miscellaneous Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0118	Theses/Dissertations - (Record copy)	This series is a compilation of theses that are written by students enrolled in a program that requires such. The thesis written by the student is a report of research conducted by the student on an agreed upon subject chosen by the student, the advisor and with the assistance of the Master's degree committee for that student. A draft copy is submitted, changes or corrections are suggested and returned to the student for final draft. A final copy is then sent to the graduate office. The original copy is retained by the library for the theses collection.	Series contains: A substantial paper written by a student seeking a degree under the guidance of a director. It may involve original research on the part of the student on any topic which is approved by the director. The contents are usually set up like a proposal or research paper such as the following: design, data and instrumentation, data analysis, time schedule, expected end product, personnel, facilities, budget, abstract	Agency: P Records Center: Archives Center:	Transfer one copy to the University Archives. Destroy excess copies when no longer needed administratively Series is for reference in verifying student's thesis program completion.
U0119	Videotape File - (Videotapes which document university activities)			Agency: P Records Center: Archives Center:	Transfer master to the University Archives. Destroy excess copies when no longer needed administratively, or erase and reuse

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Miscellaneous Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0121	Interlibrary Loan Request File (C) KRS 61.878 (1)(a) personal privacy Change Date: 3/11/1999	This series documents patron requests for books or articles not owned by the respective university library. Library staff locate the requested item, order it and inform the patron of its availability. Staff then record the item's return (if a book) and forwards it to the lending library. The series also documents the processing of requests received from other institutions.	Series contains: Request form, which documents borrower's name; department; daytime phone number; classification; bibliographic citation of material requested; copyright warning	Agency: 3 Records Center: Archives Center:	Destroy Series has primary administrative value as it documents patron requests for books/articles obtained from a lending institution. Retention meets guidelines recommended for academic libraries and copyright regulations.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Personnel Records

Schedule Date March 10, 1994

Records Title		Disposition Instructions and Retention Rationale
Series	and Description	
Function and Use	Contents	Retentio
U0300	Accident Report File - (Duplicate) - (Original in Personnel Office) - (For which no litigation, claim, or other official action has occurred)	Agency: 2 Records Center: Archives Center:
U0301	Employee Personnel Roster	Agency: 2 Records Center: Archives Center:
U0302	First Report of Injury or Illness File - (Duplicate) - (Record copy in Personnel Office)	Agency: 2 Records Center: Archives Center:
U0303	Job Description File - (Duplicate) - (Original in Personnel Office)	Agency: 1 Records Center: Archives Center:

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Personnel Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0304	Leave Request Form - (Office or unit copy)	This series is used when an employee is requesting leave such as sick or annual. Employee must complete and supervisor must sign to give authorization.	Series contains: Name of employee, pay period ending date, date of leave, nature of leave (sick/annual), signature of employee, signature of supervisor	Agency: 1 Records Center: Archives Center:	Destroy Series is used for reference as long as employee is working.
U0305	Notification of Personnel Action File - (All copies other than record copy retained in the Personnel Office) Change Date: 9/9/1999	This series documents various personnel actions, such as employment date, change of address, change in status, and salary adjustments. It represents the official notification of such actions. In most cases, series will be created electronically.	Series contains: Date of action, name of employee, type of action, date approved	Agency: 1 Records Center: Archives Center:	Destroy three years after termination of employee Series has primary administrative value as it represents the official notification of personnel actions. The record copy is retained in series U0620.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Personnel Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	Description				
U0306	Personnel Applications and Resumes File - (For persons not hired) - (Legal retention requirement two years per 29 CFR 1602.48) (C) KRS 61.878 (1)(a) Change Date: 3/14/1996 Administrative Change Date: 12/14/1995 (To add KRS to (C) citing)	This series provides information on those applicants who applied for, but were not hired to fill specific university job vacancies. The information from the series may be used when subsequent vacancies occur or when litigation involving possible violations of an applicant's civil rights occurs.	Series contains: Application for employment and resumes	Agency: 2	Destroy
				Records Center:	This series has primary administrative and legal value because it provides information about prospective employees. Information from the series also may be used in the event of litigation resulting from violations of an applicant's civil rights.
				Archives Center:	
U0307	Personnel Policies and Procedures - (Duplicate) - (Record copy in Personnel Office)			Agency: 1	Destroy when superseded
				Records Center:	
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Personnel Records

Schedule Date March 10, 1994

Records Title and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0308	Personnel Records - (Faculty and staff) - (Master file in Personnel Office) - (Departmental copy) (C) KRS 61.878 (1)(a) Administrative Change Date: 12/14/1995 (To add KRS to (C) citing)	This series is created when a person is employed at the university full time, temporary and work studies. It documents the educational background, work history and experience of the person prior to employment with the university and is updated when continuing education and work experience are gained. It records honors, commendation letters, directives, correspondence, title, salary, change in status, change in compensation, change in title, transfers, work schedule, job description, appraisal and/or evaluation forms, contracts, personnel action recommendations, letters of application and resumes	Series contains: Resume, transcripts, letters of recommendation, job description, additional assignments, schedule of work hours, contract, letter of employment notification, personnel action recommendations for hiring, dismissal, job title changes, appraisal and/or evaluation forms, application form or letter, overtime requests, workman's compensation injury records, requests for transfer, employee history disciplinary action documents, correspondence, resignation form or letter, documentation of employee's performance such as notes, logs, work progress report, appeal committee reviews and final report	Agency: I	Destroy five years after termination of employment in office or unit
				Records Center:	To comply with federal regulation. To document employment at university.
				Archives Center:	
U0309	Personnel Records - (Subunit or office copy) (C) KRS 61.878 (1)(a) Administrative Change Date: 12/14/1995 (To add KRS to (C) citing)			Agency: I	Destroy two years after termination of employment in office or unit
				Records Center:	
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Personnel Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0310	Tenure/Track Applications - Not Accepted - (For individuals not currently on staff) - (Legal retention requirement 2 years per 29 CFR 1602.48) - (Departmental copy) (C) KRS 61.878 (1) (a) Change Date: 9/8/1994 Administrative Change Date: 12/14/1995 (To add departmental to title)			Agency: 2 Records Center: Archives Center:	Destroy. NOTE: If complaint is filed, series must be retained until final disposition
U0311	Time and Attendance Report - (Unit or office copy) - (Record copy in Personnel Office)			Agency: 3 Records Center: Archives Center:	Destroy

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Personnel Records

Schedule Date March 10, 1994

Records Title and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0312	Vacancy Reporting Form - (Duplicate) - (Original in Personnel Office) - (Legal retention requirement three years per 29 CFR 1602.48) Change Date: 9/9/1999	This series documents that a vacancy exists within a specific department or administrative unit within a university. The purpose of the series is to transmit information about particular job vacancies to all affected parties.	Series contains: Name of the department where vacancy has occurred; position title; salary range; respective department account number. May also contain a brief description of qualifications needed to fill position	Agency: 3 Records Center: Archives Center:	Destroy This series has primary administrative and legal value because it documents vacancies which occur within universities. Information from the series is used to complete federal report EEO-6. Also, series could be used in the event of violation of civil rights litigation.

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date March 10, 1994

Monday, September 18, 2006

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date March 10, 1994

Monday, September 18, 2006

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0400	Academic Action Authorization File - (Dismissals, etc.)			Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance
U0401	Academic Records - (Includes narrative evaluations, competency assessments, admissions, enrollment and academic documentation) - (Master or official student record) (C) KRS 164.283 Administrative Change Date: 12/14/1995 (To add transfer to University Archives) (V)			Agency: P Records Center: Archives Center:	Retain in creating unit or transfer to the University Archives
U0402	Acceptance Letters - (Enrolled students)	This series is to inform prospective high school and second chance students if they have been admitted to the college.	Series contains: Academic term that the student has been accepted or rejected for	Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance Series reduces the administrative burden on behalf of student and the institution. Reference rate is low.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0403	Acceptance Letters - (Retention based on Veteran's Administration policy) - (Individuals who do not enter whether accepted or rejected)			Agency: I Records Center: Archives Center:	Destroy three years after application term
U0404	Advanced Placement Records - (Enrolled Students) (C) Family Educational Rights and Privacy Act			Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance
U0405	Advanced Placement Records - (Individuals who do not enter whether accepted or rejected) (C) KRS 61.878 (1)(a)	This series recognizes potential college credit.	Series contains: Information on students performance	Agency: I Records Center: Archives Center:	Destroy three years after application term Series reduces the administrative burden on behalf of the student and the institution. Reference rate is low.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0406	Applications for Admissions - (Individuals who do not enter whether accepted or rejected (C) KRS 61.878 (1)(a))	This series provides a record of students applying for admission to a community college. Serves as vehicle for capturing student demographic data and other pertinent information applicable to the admissions process.	Series contains: Information about the community college, services provided, and instructions on how to complete the application. A completed application will contain student demographic data, semester applying for, major field of study, colleges attended, test score dates, residency, citizenship, etc.	Agency: I Records Center: Archives Center:	Destroy three years after application term Series reduces the administrative burden on behalf of the student and the institution.
U0407	Applications for Admission or Readmission - (Enrolled students)			Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance
U0408	Applications for Graduation			Agency: I Records Center: Archives Center:	Destroy one year after graduation or last date of attendance

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

**Disposition
Instructions
and Retention
Rationale**

Series	Records Title and Description	Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0409	Change of Grade File - (Update documents)			Agency: P Records Center: Archives Center:	Retain in creating unit
U0410	Class Rosters - (Contains student names only)			Agency: 1 Records Center: Archives Center:	Destroy
U0411	Class Schedules - (Faculty)	This series documents classes for each semester, topics covered in each class, times of classes, and instructor for each class. Series is used as documentation of workload for faculty applying for promotion and/or tenure, and to determine class needs for the future. It also serves as a planning document for faculty members who are teaching a particular class for the first time.	Series contains: Topics for each class, times for each class meeting, instructor of each class, daily assignments, text required for each class, enrollement figures	Agency: I Records Center: Archives Center:	Destroy when obsolete This series documents the workload for each instructor as needed when applying for promotion and/or tenure.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0412	Class Schedules - (Institutional record copy) - (Maintained by chief academic officer)	This series is a list, for public use, of course offerings that are available for a given term. That information is store and maintained electronically. It is also lists associated policies and procedures of key activities associated with registration such as fee payment instructions, refund policies, student support services, final examination schedules, maps and directories.	Series contains: Class offering information such as courses, times, location, credit hours, instructor name and specific remarks. Policies and procedures regarding registration, fee payment, student support services and directories are included	Agency: P Records Center: Archives Center:	Transfer one copy of each schedule to the University Archives. Destroy excess copies when no longer needed administratively This series is for institutional archival value and a ready reference to verify whether course was offered at a given time. To respond to clients inquiries about course frequency.
U0413	Counseling Files - (Academic) - (Created by university counseling offices) (C) Family Educational Rights and Privacy Act	This series maintains information on each student who has received counseling at the university. Services provided are geared more toward vocational counseling. More severe problems are normally dealt with by referral to an outside agency.	Series contains: Progress reports, class schedules, referral form for counseling services, personal data on student, counseling notes, vocational and educational information to aid counselor in suggesting various avenues student might pursue in a career	Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance
U0414	Course Change File - (Add/drop)	This series is used to add or delete a course. This document is usually generated by Deans, signed by department chair, dean and vice president for academic affairs and cleared by records and registration for final action.	Series contains: Instructions, department, section, title, hours, days, instructor, reason for change in course, appropriate signatures, dates	Agency: I Records Center: Archives Center:	Destroy one year after date submitted

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0415	Course Syllabuses - (Faculty copy) - (Policies and objectives)			Agency: P	Transfer to the University Archives when no longer needed for current classroom activity. Duplicate copies may be destroyed when no longer useful
				Records Center:	
				Archives Center:	
U0416	Credit by Examination File - (Master Student File (U0401), contains equivalent grade information) (C) Family Educational Rights and Privacy Act			Agency: I	Destroy five years after graduation or last date of attendance
				Records Center:	
				Archives Center:	
U0417	Credit/No Credit Approval File			Agency: I	Destroy one year after date submitted
				Records Center:	
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0418	Curriculum and Instruction File - (Faculty)	This series offers information on course content as per individual instructor. Outlines are created to describe more generalized course content. It serves as a research and guidance tool, especially for new instructors. Curriculum requirements are determined in conjunction with state educational requirements and professional organization requirements, in addition to university requirements.	Series contains: Copies of final exams given by members of the department, information regarding subjects covered in previous semesters, notations of texts used for reference, course outline, curriculum, curriculum revisions, check sheets, textbook request list	Agency: I Records Center: Archives Center:	Destroy when obsolete Serves as a research and guidance tool as instructors change.
U0419	Degree Audit Records			Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance
U0420	Degree Statistical Reports - (Reports documenting number, type, as well as demographic data relating to degrees awarded)			Agency: P Records Center: Archives Center:	Transfer one copy of each report to the University Archives. Destroy excess copies when no longer useful

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Disposition Instructions and Retention Rationale	
Series	and Description	Function and Use	Contents
U0421	Degrees Awarded Files - (Includes Associate, Undergraduate, Graduate)		
			Agency: I
			Records Center:
			Archives Center:
U0422	Disciplinary Action Documents - (Enrolled students) - (NOTE: Series should be maintained separate from academic record per Academic Record and Transcript Guide, 1984 Edition) (C) KRS 164.283	This series contains documentation of disciplinary actions on university students. This file itself is a non-action file and contains only copies of disciplinary reports initiated by other offices on campus, and residence assistants. If a disciplinary action is severe and may result in grievance procedures by the student or if a hearing is required to resolve the matter, a copy will be filed in the Student File.	Series contains: Copies of university student disciplinary action reports
			Agency: I
			Records Center:
			Archives Center:
U0423	Enrollment Statistical Reports - (Reports documenting student enrollment for budget/planning purposes and to support enrollment trends)		
			Agency: P
			Records Center:
			Archives Center:

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0424	Enrollment Verifications File			Agency: I Records Center: Archives Center:	Destroy one year after verification
U0425	Entrance Examination Reports - (Enrolled students) - (ACT, CEEB, GRE, SAT, etc.) - (May include test scores, profiles) (C) Family Educational Rights and Privacy Act	This series contains various reports/information on enrolled and non-enrolled students. Information is used for academic advising and selective admissions.	Series contains: College Planning Program Scores, American College Testing Programs Scores, profiles, various other reports	Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance Series reduces the administrative burden on behalf of the student and the institution. Reference rate is low.
U0426	Entrance Examination Reports - (Individuals who do not enter whether accepted or rejected) - (ACT, CEEB, GRE, SAT, etc.) (C) KRS 61.878 (1) (a) Administrative Change Date: 12/14/1995 (To add KRS to (C) citing)			Agency: I Records Center: Archives Center:	Destroy one year after application term

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0427	Fee Assessment Forms File - (Enrolled students)			Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance
U0428	Financial Aid Documents	This series is initiated when financial awards are received. It supports documentation such as applications and other records used to make a determination of financial need.	Series contains: Financial aid application, financial aid needs and analysis, verification of income for previous year, documentation checklist, parental statement of independence, special condition form, documents related to student's application for work-study or part-time employment as means of subsidizing the costs of tuition, financial aid transcript, student aid report, student employment agreement. May also include correspondence related to awards of grants and/or loans student has is eligible for.	Agency: I Records Center: Archives Center:	Destroy five years after annual audit has been accepted by the federal Department of Education

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				Rationale
U0429	Final Examination Schedule - (Duplicate) - (Faculty) Administrative Change Date: 12/14/1995 (To add duplicate to title note)			Agency: 6 mos	Destroy
				Records Center: Archives Center:	
U0430	Foreign Student File - (May include immigration and naturalization documents) - (NOTE: Some documents from institutions in other countries may be originals. The Records Custodian may want to return these to the student rather than destroy them.) (C) Family Educational Rights and Privacy Act (V)			Agency: 1	Destroy five years after graduation or last date of attendance
				Records Center: Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0431	Grade Information File - (Individual colleges, study areas) - (NOTE: Permanent information may be found in Master Student File (U0401))			Agency: I Records Center: Archives Center:	Destroy one year after date distributed
U0432	Grade Sheets - (Original) - (May be known as class lists) (C) Family Educational Rights and Privacy Act			Agency: P Records Center: Archives Center:	Retain in creating unit
U0433	Grade Statistical Report - (Record Copy)			Agency: P Records Center: Archives Center:	Transfer one copy of each report to the University Archives. Destroy excess copies when no longer needed administratively

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0434	Graduation Authorization File			Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance
U0435	Graduation Lists - (Contains names of students completing degree requirements)			Agency: P Records Center: Archives Center:	Transfer one copy of each list to the University Archives. Destroy excess copies when no longer needed administratively
U0436	Medical Records - (Enrolled students) (C) Family Educational Rights and Privacy Act	This series documents medical diagnosis and course of treatment administered by a licensed physician to any student of the university. It is also used as verification or treatment for insurance purposes.	Series contain: Medical treatment sheet, x-ray results, lab reports	Agency: I Records Center: Archives Center:	Destroy ten years after graduation or last date of attendance This retention will satisfy all administrative needs for this information.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0437	Medical Records - (Individuals who do not enter whether accepted or rejected) (C) KRS 61.878 (1)(a) Administrative Change Date: 12/14/1995 (To add KRS to (C) citing)			Agency: I Records Center: Archives Center:	Destroy three years after application term
U0438	Name Change Authorization File			Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance
U0439	Pass/Fail Request File			Agency: I Records Center: Archives Center:	Destroy one year after date submitted

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0440	Placement Scores - (Enrolled students) (C) Family Educational Rights and Privacy Act	This series assists in placing students in courses to ensure their academic success.	Series contains: Score reports in english, reading and math	Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance Series reduces the administrative burden on behalf of the student and the institution. Reference rate is low.
U0441	Placement Scores - (Individuals who do not enter whether accepted or rejected) (C) KRS 61.878 (1) (a) Administrative Change Date: 12/14/1995 (To add KRS to (C) citing)			Agency: I Records Center: Archives Center:	Destroy three years after application term
U0442	Readmission File - (Individuals who do not enter whether accepted or rejected)			Agency: I Records Center: Archives Center:	Destroy one year after application term

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0443	Recruitment Materials - (For a specific term) - (Veteran's Administration requires series be retained for three years)			Agency: I Records Center: Archives Center:	Destroy three years after application term, graduation, or last date of attendance, whichever is appropriate. NOTE: Reports, statistical information, if created, should be transferred to the University Archives for permanent retention
U0444	Registration Forms			Agency: I Records Center: Archives Center:	Destroy one year after date submitted
U0445	Requests/Disclosures of Personally Identifiable Information File (V)			Agency: I Records Center: Archives Center:	Destroy when affected record is destroyed

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0446	Residency Classification Forms File			Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance
U0447	Social Security Certification File			Agency: I Records Center: Archives Center:	Destroy one year after certification
U0448	Student Class Schedules			Agency: I Records Center: Archives Center:	Destroy one year after graduation or last date of attendance

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0449	Student File - (Active) - (College or department copy) - (Includes Continuing Education, Foreign Student Files, Associate, Undergraduate, Masters) (C) Family Educational Rights and Privacy Act	This series provides up-to-date information on student's activity from point of enrollment to graduation or leaving school. Series is established and maintained on every individual who attends the university.	Series contains: Copies of official class absences, duplicate identification card, meal exemption forms, copies of withdrawal notices if applicable, student hearing procedures as they relate to specific disciplinary actions, copies of campus police reports if the offense is severe enough, other correspondence related to student's behavior while on campus	Agency: I Records Center: Archives Center:	Transfer permanent information to Master Student Record (U0401). Destroy remainder five years after graduation or last date of attendance Series is retained for student to obtain degree and to do 5 year studies.
U0450	Student File - (Inactive) - (College or department copy) - (Includes Continuing Education, Foreign Student Files, Associate, Undergraduate, Masters) (C) Family Educational Rights and Privacy Act			Agency: I Records Center: Archives Center:	Transfer permanent information to Master Student Record (U0401). Destroy remainder five years after graduation or last date of attendance

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0451	Student File - (Masters Degree Program) - (Declined and denied) Administrative Change Date: 12/14/1995 (To add Masters Degree Program)			Agency: 2 Records Center: Archives Center:	Destroy
U0452	Student Government Files - (Contains by-laws, minutes, correspondence, agendas, etc.)			Agency: P Records Center: Archives Center:	Transfer to the University Archives
U0453	Student Requests for Nondisclosure of Directory Information File - (that University not provide access to directory information) (V)			Agency: I Records Center: Archives Center:	Destroy one year after termination of request

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0454	Student Waivers for Rights of Access to See Letters of Recommendation for Admission File (V)			Agency: 1 Records Center: Archives Center:	Destroy when affected record is destroyed. NOTE: Students who revoke their waivers may not see letters of recommendation submitted during the time waivers were in force, per Family Educational Rights and Privacy Act
U0455	Student Worker Time Sheets	This series is a record of time and attendance of each student participating in the work study program.	Series contains:	Agency: 3 Records Center: Archives Center:	Destroy after audit
U0456	Student's Written Consent for Records Disclosure File (V)			Agency: 1 Records Center: Archives Center:	Destroy upon termination of consent or destruction of affected record

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0457	Teacher Certifications File			Agency: I Records Center: Archives Center:	Destroy one year after certification period
U0458	Test Scores - (Enrolled Students) (C) Family Educational Rights and Privacy Act			Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance
U0459	Transcript Request File - (Student)	Federal law requires written authorization for a transcript request. This series documents official requests (form or letter) from students for transcripts of various records from the university. When student completes a request form or writes a letter, that serves as a request to make a transcript copy for that student, to be picked up or mailed.	Series contains: Signed authorization form or letter from student requesting transcript(s). The forms/letters secure necessary information in order to locate record for transcript processing. Form - name, social security number, address of student, signature, unofficial or official copies needed, address of where transcripts are to be sent. Letter - name, social security number, dates of attendance, where transcripts are to be sent	Agency: I Records Center: Archives Center:	Destroy one year after date submitted

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0460	Transcripts - (Enrolled students) - (Copies from other high schools/colleges) (C) KRS 164.283	Series provides academic record for each individual student.	Series contains: Attempted semester hours, earned semester hours, transfer hours, semester grade point average, cumulative grade point average.	Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance. NOTE: Some documents from other institutions in other countries may be originals. The records custodian may want to return these to the student rather than destroy them Series reduces the administrative burden on behalf of the student and the institution.
U0461	Transcripts - (Individuals who do not enter whether accepted or rejected) - (Copies from other high schools/colleges) (C) KRS 164.283			Agency: I Records Center: Archives Center:	Destroy three years after application term. NOTE: Some documents from other institutions in other countries may be originals. The records custodian may want to return these to the student rather than destroy them Series reduces the administrative burden on behalf of the student and the institution.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0462	Transfer Credit Evaluations			Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance
U0463	Tuition and Fee Change File			Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance
U0464	Veteran's Administration Certification File - (NOTE: Retention meets VA requirements for compliance with 85/15% ratio of non-veteran/veteran students for each course)			Agency: I Records Center: Archives Center:	Destroy three years after graduation or last date of attendance

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0465	Withdrawal Authorization File (Y) KRS 61.878 (e)	This series documents official withdrawal of student from the university by either the student's request or involuntarily due to university regulations. It provides the admissions office with record of the date and reason of student's withdrawal from school. Notation of withdrawal is reflected in the permanent student record.	Series contains: Official withdrawal cards which contain student's name, social security number, classification, age, home address, reason for departure, last date of class attendance, percentage of refund due, eligible or ineligible for re-entry without petition notation, appropriate signatures. Information from cards are placed on original withdrawal form.	Agency: I Records Center: Archives Center:	Destroy two years after graduation or last date of attendance
U0466	Work Study Files (Y) KRS 164.283	This series documents students employed throughout the university during each semester. Also documents financial aid amounts approved for individual students as well as the number of hours of work required in order to obtain the financial assistance. It documents the dates of work, the number of hours worked, the hourly wage, and signatures of the student worker and the supervisor.	Series contains: Copies of student timecards and timesheets that show student payroll. Approval forms that states student name and address, social security number, identification number, amount of award, semester designated for work and whether workstudy is a federal or institutional workstudy student; work/study waiting list	Agency: I Records Center: Archives Center:	Destroy five years after graduation or last date of attendance These records are primarily backup records for financial aid office. They document the number of approved hours available and the number of hours worked by participating students.

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date March 10, 1994

Monday, September 18, 2006

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
General Records
Student/Course Records

Schedule Date March 10, 1994

Disposition Instructions and Retention Rationale

Monday, September 18, 2006

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0471	Course Proposal File - Not Approved - (Departmental copy) Change Date: 6/11/1998	This series documents proposals to add, drop or change courses in the university curriculum that are not approved by the academic council, or similar unit. Faculty committees submit to respective departments recommendations for changes in course offerings. The departments then forward the accepted recommendations to the appropriate academic council for review and final approval. Recommendations for changes in course offerings may be documented in departmental meeting minutes.	Series contains: Information necessary to explain and justify the proposed changes. Included are course descriptions, course outline or syllabus, bibliography, reading list, and related correspondence	Agency: I	Destroy after notification of non-approval
				Records Center:	Series has limited administrative value as a record of proposals pending consideration by the appropriate approval body.
				Archives Center:	
U0472	Applications for Scholarships File - Accepted (C) KRS 160.705 (1) Student Information Change Date: 6/11/1998	This series documents the approval of applications by students for academic (merit-based) scholarships. The completed applications are submitted to Admissions, or appropriate administrative unit for approval. Requirements may vary according to the types of scholarships being offered through the university. For instance, some may be based on geographic location, area of study, grade levels, etc. Specific requirements are determined by the scholarship funding agent. University catalogs generally provide basic information about the types of scholarships offered.	Series contains: Application and supporting documentation (high school transcripts, essays, etc.); notification letter; type of scholarship awarded; amount; and award period	Agency: I	Destroy three years after expiration of award period
				Records Center:	Series has primary administrative value as it documents the granting and payment of academic scholarships. Academic Record (U0401) provides permanent documentation.
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0473	Applications for Scholarships File - Declined (C) KRS 160.705 (1) Student Information Change Date: 6/11/1998	This series documents applications by students for academic (merit-based) scholarships that are declined. The completed applications are submitted to Admissions, or appropriate administrative unit for approval. Requirements may vary according to the types of scholarships being offered through the university. Applications may be declined if sufficient funds are not available for a particular scholarship or the student does not meet specific requirements. University catalogs generally provide basic information about the types of scholarships offered.	Series contains: Application and supporting documentation (high school transcripts, essays, etc.); and notification letter	Agency: 1	Destroy one year after issuance of notification letter
				Records Center: Archives Center:	Series has primary administrative value as it documents applications for academic scholarships which are declined.
U0474	Health and Fitness Record File (C) KRS 61.878 (1)(a) and KRS 160.705 Change Date: 9/30/1998	This series documents records submitted for participation in health and fitness-related programs offered by the university to students, faculty, staff and the public. The records provide information needed to evaluate an individual's ability to participate so that an appropriate exercise regimen can be developed. The series also documents an individual's consent to participate and releases the university from any liability in connection with the evaluations.	Series contains: Questionnaires related to general health and specific health conditions; consent forms; release forms; screening results; and diagnostic reports	Agency: 2	Destroy
				Records Center: Archives Center:	Series has primary administrative value because it documents participation in health/fitness programs, and the release of liability connected with fitness evaluations. Two years is sufficient to cover the statute of limitation of one year for personal injury.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0475	Student Disability Services File - (Documents rendering of services and provisions for special accommodations) (C) KRS 160.705 (1) Student information Change Date: 9/30/1998	This series documents the need for, and rendering of, services and/or accommodations to students with disabilities. The need for the services may come from a variety of sources, including the Department for Vocational Rehabilitation, other colleges and universities, the individual student, or other parties having contact with students who may require special accommodations. This series represents the record copy of services provided.	Series contains: Application for service; disability disclosure form; release of information forms; documentation of disability; accommodation letters; referral information; medical information and correspondence from health professionals; copies of admissions forms; interview notes; and related correspondence	Agency: I Records Center: Archives Center:	Destroy five years after graduation, or last date of attendance Series has primary administrative value because it documents services and accommodations to students with

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date March 10, 1994

Monday, September 18, 2006

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 General Records
 Student/Course Records

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0477	Dental Records - Students (C) KRS 61.878 (1) (a) Change Date: 9/9/1999	This series documents dental services provided to students through clinics operated by universities, or as a part of dental hygiene course offerings. It is used to document data pertinent to the delivery of treatment, including clinical findings and written histories supplied by the patients. Dental hygiene students chart the findings and histories, under the supervision of clinical instructors (faculty).	Series contains: Treatment plan; record of consultation with dentist regarding risk factors associated with dental treatment; record of x-rays; documentation of services rendered; payment notations and receipts; and consent form	Agency: 1 Records Center: Archives Center:	Destroy ten years after graduation, or last date of attendance Series has primary administrative value as it documents the rendering of dental services to students by the universities. The accepted retention for medical records of students is ten years.
U0478	Appeals File - Students (C) Federal Educational Rights and Privacy Act Change Date: 12/9/1999	This series documents the appeals filed by students as a result of decisions rendered by the various campus standing committees. Generally, the decisions relate to the assessing of fines and fees for infractions of rules and procedures. Each university has standing committees which oversee different areas of the campus. The standing committees have appeal procedures in place that students can utilize should they disagree with committee decisions. This series is inclusive of all types of appeals filed by students. Most situations require appeals to be filed within thirty days or less. Actions that can result include: upholding the appeal and canceling assessment; denying the appeal; or requiring special arrangements which the student must meet.	Series contains: Date appeal filed; name of appellant, address, phone number; basis for the appeal; supporting witness information; signature of appellant; committee action; date of hearing; signature of chairperson; and related correspondence	Agency: 3 Records Center: Archives Center:	Destroy Series has primary administrative value as it documents the appeals of fines and fees and other administrative actions.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Medical Facilities

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U1700	Patient File - (Emergency psychiatric services) (C) KRS 422.330 psychiatrist/patient privilege Change Date: 3/11/1999	This series documents the medical/psychiatric treatment given to patients who are admitted to the University of Louisville's Emergency Psychiatric Services Department. A record is created upon admittance. Since the Department is part of the University of Louisville Hospital, it also maintains a patient file on the individual. The record created by Emergency Services is considered an internal document. The record held by the Medical Records Department, University of Louisville Hospital is considered the official patient record.	Series contains: Admitting forms; referral forms; consent forms; data sheets; yellow face sheets; psychiatrist's notes; nurses notes; laboratory test results; hospital transfer forms; prescription information; clinical assessment for holding bed unit; holding bed unit nursing assessment; treatment notes; minimum data sheets; copies of 72-hour holding forms; initial intake information; and discharge summary	Agency: I	Destroy five years after last date of service, or in the case of a minor, three years after patient reaches the age of majority, whichever is the longer period Series has primary administrative value because it documents patient medical information. Official record resides with the University hospital. Retention equals period specified by regulation.
				Records Center:	
				Archives Center:	
U1701	Dental Records - Adults - (Documents services provided through clinics operated by the universities) (C) KRS 61.878 (1)(a) Change Date: 9/9/1999	This series documents dental services provided to adults through clinics operated by universities, or as a part of dental hygiene course offerings. It is used to document data pertinent to the delivery of treatment, including clinical findings and written histories supplied by patients. Dental hygiene students chart findings and histories, under the supervision of clinical instructors (faculty). NOTE: Conditions requiring extreme or long term care would be referred to other more appropriate care givers.	Series contains: Treatment plan; record of consultation with dentist regarding risk factors associated with dental treatment; record of x-rays; documentation of services rendered; payment notations and receipts; and consent form	Agency: I	Destroy five years after last date of service Series has primary administrative value as it documents dental services provided through the universities. Retention is in keeping with other similar clinic-type records. Long term treatment is generally provided in other than a clinic setting.
				Records Center:	
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Medical Facilities

Schedule Date March 01, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U1702	Dental Records - Children - (Documents services provided through clinics operated by the universities) (C) KRS 61.878 (1)(a) Change Date: 9/9/1999	This series documents dental services provided to adults through clinics operated by universities, or as a part of dental hygiene course offerings. It is used to document data pertinent to the delivery of treatment, including clinical findings and written histories supplied by patients. Dental hygiene students chart findings and histories, under the supervision of clinical instructors (faculty). NOTE: Conditions requiring extreme or long term care would be referred to other more appropriate care givers.	Series contains: Treatment plan; record of consultation with dentists regarding risk factors associated with dental treatment; record of x-rays; documentation of services rendered; payment notations and receipts; and consent form	Agency: I	Destroy five years after child reaches the age of majority
				Records Center:	Series has primary administrative value as it documents dental services provided through the universities. Retention meets business practice for medical records of children.
				Archives Center:	
U1703	Diagnostic Files - (Evaluations of minors done at the request of respective school systems through the Diagnostic Network Coordination Center, or similar unit) (C) KRS 61.878 (1)(a) Change Date: 12/9/1999	This series documents the evaluations of students referred to the Diagnostic Network Coordination Center, by respective school systems. Evaluation may be conducted in one or more of the following areas: psychological, educational, speech and language, and adaptive/social behavior. Personnel test the children utilizing standardized teaching instruments. Reports are prepared and forwarded to the respective school system, for inclusion in the student's permanent record. The evaluations aid the school systems in developing education plans.	Series contains: Referral from respective school system; test protocols (completed by personnel during testing); reports generated for school system; individual education plans prepared by school system; relevant medical records; related reports, usually psychological, prepared by other agencies; social history updates; behavioral observation reports; related school forms	Agency: I	Destroy five years after child reaches the age of majority
				Records Center:	Series has primary administrative value as it documents diagnostic testing of school-age children. The retention is in keeping with similar records on minors.
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Personnel
 Affirmative Action/Employee Relations

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0632	Vacant Faculty Position Retention Form - (Used to justify retention of faculty positions) Change Date: 3/9/2000	This series is created by university schools and colleges to justify the retention of a faculty position, once a faculty member has retired or resigned from the position. The chairperson of the affected department lays out the reasons why a faculty position, and the accompanying salary, should be retained, according to enrollment figures in the school or department. The justification for the position also includes the position's place in the university's mission of academic excellence; the number of students either majoring or obtaining master's degrees in the subject taught by the position; and the position's effect on the university's affirmative action goals. The series also documents the approval or denial of the request by the university Provost, or similar administrator.	Series contains: Name of unit; department; date of position vacancy; rank; salary requirements; a statement on the impact of the loss of the position; anticipated problems, if the position is lost; enrollment information; trends in the number of majors and graduates affected by the position; teaching load figures; affects on accreditation, if the position is lost; justification for continuing position; and ways in which the position enhances the university academic excellence and affirmative action goals; name of person submitting request; date submitted; approval date and signature	Agency: 2	Destroy after position is approved, filled or denied, and audit
				Records Center:	Series has primary administrative value as it is used to set projections for teaching loads and budget considerations.
				Archives Center:	
U0633	Position Control Form Change Date: 3/9/2000	This series documents job classifications and is a method by which positions are tracked by codes. It is used to set the budget line for salaries in each unit's budget, and to oversee the number of employee positions within the university.	Series contains: Name of position; salary; department in which position is located; name and e-mail address of individual submitting the form; and name and title of person authorizing the position	Agency: 4	Destroy after audit. NOTE: Destroy unit copies when superseded
				Records Center:	Series has primary administrative value as it is used to control the number of positions, according to university budgets.
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Personnel
 Affirmative Action/Employee Relations

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0634	Description of Available Position - (Series is used to write advertisements for vacant positions) Change Date: 3/9/2000	This series is used to notify Human Resources, or Personnel Unit, of vacant classified and professional administrative positions. The completed form is used by Human Resources, or Personnel, to write the advertisement for the position, in various university publications, newspapers and professional journals. It is also used in the recruitment for employees and to review the satisfactoriness of the position within the university.	Series contains: Position number; title; description of teaching, research and administrative responsibilities; required education and experience; actions specified by the Search Committee on Affirmative Action in filling the position; advertising or professional organizations to be contacted; name and e-mail address of search committee chairperson; department name and phone number; and the name and e-mail address of the person submitting the form	Agency: 1	Destroy five years after inactivation of position, and audit
				Records Center:	Series has primary administrative value as it is used as a tool for auditing and recruitment. It is also used for pay-range classification purposes.
				Archives Center:	
U0635	Affirmative Action/Equal Opportunity Form - (Used to collect demographic data on job applicants) (C) KRS 61.878 (1)(a) Change Date: 3/9/2000 Administrative Change Date: 6/8/2000 - (To change disposition)	This series was created to help fulfill the requirements of Executive Order 11246. The Order requires colleges and universities to collect and maintain data on race, gender and ethnic identity of applicants for employment. The series allows for the identification of any candidate who has a disability, or is a Vietnam era veteran. The candidate completes the form, which is optional. The candidate may elect to complete any or all parts of the form.	Series contains: Name of applicant, e-mail address, position applied for, position control number; age of applicant, sex, race, ethnic category, physical impairments, veteran status, disabilities	Agency: 3	Destroy
				Records Center:	Series has primary administrative value as it is used to collect and maintain demographic data on job applicants.
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Personnel
 Affirmative Action/Employee Relations

Schedule Date March 10, 1994

Records Title and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0636	Justification of Waiver Request File - (Used to receive permission to waive recruitment process to hire an identified candidate) Change Date: 3/9/2000	This series documents that a university department has requested a waiver of the recruitment process to hire an identified candidate. The completed waiver to send to the Affirmative Action/Employee Relations unit for review and approval. If the request is denied, the waiver is returned to the originating department, with the basis for the denial recorded on the form.	Series contains: Position title; name and e-mail address of person requesting waiver; name of the recommended candidate; sex and race identifiers; a listing of the procedures followed in the selection process; copy of the resume or curriculum vita of the identified candidate; the name and e-mail address of person submitting the request (can be different from the requester); and the name of the person who will receive the request	Agency: I	Destroy three years after position is filled
				Records Center:	Series has primary administrative value as it provides evidence that all hiring policies and procedures were followed.
				Archives Center:	
U0637	Search Committee Form - (Documents that affirmative action policies were followed during search process) Change Date: 3/9/2000	This series was created to document those individuals who participated on a search committee to fill a vacant position. It also documents that the search committee was comprised of members that reflect the university's Affirmative Action goals, that is, that women and minorities are represented.	Series contains: Position number; requisition number; name and e-mail address of the interviewer or search committee chairperson; name of the department conducting the search; names of proposed members of the committee; ethnicity and gender of proposed committee members	Agency: I	Destroy three years after search is concluded
				Records Center:	Series has primary administrative value as it documents that policies regarding affirmative action were followed during the search process.
				Archives Center:	

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Personnel
 Affirmative Action/Employee Relations

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U0638	Request to Interview Candidate - (Documents that the search committee has received permission to interview certain candidates for specific positions) Change Date: 3/9/2000 Administrative Change Date: 6/8/2000 - (To change disposition)	This series documents that a search committee has requested authorization to interview certain candidates for specific positions. It also documents that the search committee made efforts to follow the university's Affirmative Action compliance goals.	Series contains: Position title; requisition number; position control number; name of each candidate being considered; ethnicity of each candidate; gender of each candidate; and the name and e-mail address of the person submitting the form	Agency: 3	Destroy
				Records Center: Archives Center:	Series has primary administrative value as it provides information regarding hiring procedures.
U0639	Interim Affirmative Action Report - (Documents that search to fill a position is proceeding and compliance with Affirmative Action procedures) (C) KRS 61.878 (1)(a) Change Date: 3/9/2000	This series documents that the process of a search is proceeding and that the search committee is following university Affirmative Action compliance procedures.	Series contains: Title of position and department; utilization analysis and goals for the year, with regard to female and minority positions; number of the present workforce in the affected unit; number of applications received; list of the candidates under serious consideration; and the names of individuals who recommended the candidates under consideration	Agency: 1	Destroy three years after search is concluded
				Records Center: Archives Center:	Series has primary administrative value as it documents that a search committee has fulfilled the university's commitment to affirmative action.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Personnel
 Affirmative Action/Employee Relations

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U0640	Summary of Affirmative Action Process - (Documents efforts to follow Affirmative Action commitments) Change Date: 3/9/2000	This series was created to describe efforts by search committees to follow Affirmative Action commitments, during a search to fill a vacant faculty position.	Series contains: Name of candidate; candidate's race and gender; position title; salary; appointment period; tenure status; description of the search process; results of the search and selection process (the number of applicants broken down by race and gender); names of committee members recommending the preferred candidate; and the name of the person submitting the form	Agency: I Records Center: Archives Center:	Destroy three years after search is concluded Series has primary administrative value as it documents compliance with university Affirmative Action goals.
U0641	Preferred Candidate Identified Form - (Documents the selection of a candidate to fill a vacant position) (C) KRS 61.878 (1)(a) Change Date: 3/9/2000	This series documents that a search committee has chosen a candidate to fill a given faculty or staff position. It indicates that the candidate chosen is qualified for the position, according to the position description.	Series contains: Position title; requisition number; name and social security number of the candidate; recommended salary; e-mail address of the person sending the report; and the name and e-mail address of the person receiving the report	Agency: I Records Center: Archives Center:	Destroy three years after search is concluded Series has primary administrative value as it provides evidence of the selection of a candidate to fill a vacant position.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Sponsored Programs

Schedule Date March 10, 1994

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U1800	Grant Proposal File - Funded Change Date: 12/9/1999	This series documents the application for and approval of grant funds which may be used for various types of research, instruction, public service, university operations, student affairs and the awarding of scholarships. Grants are applied for from a variety of federal, state, local and private sponsors. Procedures for the submission of proposals for grants may vary from institution to institution. Both faculty and staff can make application for a grant. Generally, proposals are submitted to the Office of Sponsored Programs, or similar unit, for initial review. Depending upon the type of project being proposed, the review process may go through several levels before a final decision is made. The Office also assists in locating funding sources. Financial documentation on funded grants and contracts is generally maintained by the appropriate business affairs/accounting unit.	Series contains: Documents pertaining to the application for, and receipt and administration of grant funds, including grant proposal and supporting documentation; applicable grant contract or agreement; budget information; receipt and disbursement records; bank statements; financial statements; and reports to granting agency	Agency: I Records Center: Archives Center:	Destroy three years after submission of final financial report, closure of account, and audit, unless otherwise specified by the terms of the grant contract Series has primary administrative value as it documents grant funding and administration. The three-year retention period is established under the legal
U1801	Grant Proposal File - Not Funded Change Date: 12/9/1999	This series documents the application for grant funds that are not approved by the funding entity. Grants are applied for from a variety of federal, state, local and private sponsors. The reasons for rejection of the applications will vary, depending upon the funding agent. Applications may also be denied as a result of the reviews by the appropriate university officials.	Series contains: Documents pertaining to the application for grant funds, including grant proposal and supporting documentation; suggested revisions; final proposal; and related correspondence	Agency: I Records Center: Archives Center:	Destroy when administrative value has ceased Series has primary administrative value as a record of proposals pending consideration, and as a source for developing alternative grant proposals.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Sponsored Programs

Schedule Date March 10, 1994

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U1802	Research Files - Human Subjects (C) KRS 61.878 (1)(a) Change Date: 12/9/1999	This series documents the application for and authorization of research involving the use of human subjects. All research that involves the use of humans must be approved by the Human Subjects Review Board, or similar entity, including a description of the procedure to be used to gather information from the subjects. A human subject is defined as "a living individual about whom an investigator obtains data through intervention or interaction with the individual, or identifiable private information." The application form is generally completed by the principal investigator and submitted to the Office of Sponsored Programs, or similar unit for initial review. Human participants are those upon whom the principal investigator applies a research technique, (e.g., survey, experimental, evaluation, biomedical research), or many other methods, to elicit data that can be generalized. Examples of activities that constitute research include: 1) any study intended to result in publication or public presentation; 2) any activity resulting in publication or presentation, even though it involves only review of existing data that were collected with no intent to publish; or 3) any use of an investigational drug or device. Human subjects may be used in both basic and applied research projects.	Series contains: Documents pertaining to university approval of the use of human subjects of research, including research proposals, sample consent documents, correspondence regarding revisions, and reports of investigator(s)	Agency: I	Destroy three years after completion of research, unless otherwise specified by the terms of the grant contract
				Records Center:	Series has primary administrative value as it documents the approval process for use of human subjects for research. The three-year retention period is required by regulation noted above.
U1803	Research Files - Animal Subjects Change Date: 12/9/1999	This series documents the application for and authorization of research involving the use of animal subjects. Animal subjects may be used in research, research training experimentation, biological testing and related activities. The use of animals for research must be in compliance with the Public Health Service Policy on Humane Care and Use of Laboratory Animals. Also, compliance with all applicable provisions of the Animal Welfare Act and related federal statutes and regulations is expected. Additionally, guidance to institutions is provided through the "U. S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research and Training."	Series contains: Documents pertaining to approval of the use of animal subjects of research, including research proposals, correspondence and supporting documentation; Animal Subject Committee minutes and decisions; and appointment letters	Archives Center:	
				Agency: I	Destroy three years after completion of research, unless otherwise specified by the terms of the grant contract
				Records Center:	Series has primary administrative value as it documents the basis for approval of animal subject research. The three-year retention period is required by
				Archives Center:	

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date March 10, 1994

Monday, September 18, 2006

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Technology Records
 Year 2000 Records

Schedule Date December 09, 1999

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U1900	Project Management Records Closed Date: 12/31/1999	Closed Series: This series documents the magnitude of the overall year 2000 effort and was used to organize, support, and manage the Y2K project. It reflects formal policies, procedures, methodologies, project plans, training materials and communications showing how and why decisions were made. The series includes project status reports, which were used to track the status of particular issues and the progress made in resolving them. Information from the reports may be particularly helpful in understanding the steps taken to correct problems associated with Y2K compliance. NOTE: Series may contain various electronic records that have been created using Microsoft Office software, such as Word, Access, Excel.	Series contains: Project plans, policies, and procedures; minutes, agendas, presentation materials; project status reports; and outreach documents	Agency: 5 Records Center: Archives Center:	Destroy Series has primary administrative value as it documents the magnitude of the Y2K effort. Information from the series will be useful in responding to questions and concerns arising from steps taken to ensure compliance with Y2K requirements. Series may also be needed in the event of litigation arising from corrective actions taken.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Technology Records
 Year 2000 Records

Schedule Date December 09, 1999

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U1901	Fiscal Records - (Documents expenditure of funds for purchase of equipment supplies, and travel) Closed Date: 12/31/1999	Closed Series: This series provides documentation on the expenditure of funds used to support the purchase of equipment and supplies in regard to university compliance with year 2000 requirements. It provides for an understanding of how funds were used, when expenditures occurred and for what purpose.	Series contains: Purchase orders; travel vouchers; invoices for equipment purchases, etc.; purchase requisitions; and supporting documentation	Agency: 5 Records Center: Archives Center:	Destroy after audit Series has primary administrative value as it provides documentation to support the expenditure of funds related to year 2000 compliance. Information in the series will aid in understanding the type of equipment and supplied needed to assist in the resolution of problems with Y2K readiness.

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date December 09, 1999

Monday, September 18, 2006

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Schedule Date December 09, 1999

Monday, September 18, 2006

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Technology Records
 Year 2000 Records

Schedule Date December 09, 1999

Records Title		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
Series	and Description				
U1904	Systems Record File - (Documents the process involved to achieve and verify year 2000 readiness) Closed Date: 12/31/1999	Closed Series: This series was created to document the process involved to achieve and verify year 2000 readiness. It provides documentation on the following: 1) renovation of critical hardware, software, or systems; 2) steps taken to test critical hardware, software and systems; 3) test verification guidelines; 4) identification of business risks and the steps to be followed to continue critical activities, in the event of a business failure (business continuity plans); and 5) the review and validation process each university will follow to ensure that systems/components are operating as expected in the year 2000 (rollover plans). NOTE: Series may contain various electronic records that were created using Microsoft Office software, such as Word, Access, Excel.	Series contains: System analyses; project authorizations; problem logs; requests for proposals; contracts; testing guidelines; testing criteria; procedures used for each test; test results; signoff forms; verification guidelines; business continuity plans; and rollover plans	Agency: 5 Records Center: Archives Center:	Destroy Series has primary administrative value as it documents the process involved to achieve and verify year 2000 readiness. Information from the series may be needed in the event of litigation or other problems associated with year 2000 compliancy.

STATE AGENCY RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

State University Model
 Technology Records
 Year 2000 Records

Schedule Date December 09, 1999

Records Title Series and Description		Function and Use	Contents	Retention	Disposition Instructions and Retention Rationale
U1905	Documentation Checklist File - (Identifies the physical location of year 2000 records within each university) Closed Date: 12/31/1999	Closed Series: This series documents the physical location of all year 2000 documentation within universities. It is important that all records associated with readiness and compliance be available, in the event they are needed after year 2000 plans have been implemented and tested. Should problems arise after the year 2000 has begun, universities must be able to justify actions and steps taken. The identification of the location of year 2000 records will be particularly important in the event of litigation, problems with specialized services, equipment, hardware and software used to bring about year 2000 readiness.	Series contains: The identification of the physical locations of year 2000 documentation; additional comments; and signatures	Agency: 5	Destroy. NOTE: A copy of the checklists should be transferred to the University Archives
				Records Center:	Series has primary administrative value as it documents the physical location of year 2000 records within each university . The ready accessibility to the records is critical, in the event of litigation or other problems associated with year 2000 compliance.
				Archives Center:	